

## SUPPORTING STATEMENT

**Customer Satisfaction Survey ([Attachment D](#)), Workforce Investment Act Standardized Record Data (WIASRD) ([Attachment E](#)), Quarterly Summary Report ([Attachment F](#)), and Annual Report ([Attachment G](#))**

### A. Justification

#### 1. Necessity of Data Collection

The Department has opted for a minimalist approach to reporting. Therefore, requirements are limited to those required by the act, compliance with Equal Opportunity (EO) requirements, or a few items necessary for oversight and management purposes.

Provisions in the Workforce Investment Act of 1998 (WIA) legislation:

- command the Secretary to ensure that all elements of the information required for reports be defined and reported uniformly (WIA section 185(d)(2));
- direct each State and each Local Board and each recipient (other than a subrecipient, subgrantee or contractor of a recipient) to prescribe and maintain comparable management information systems, in accordance with the guidelines that shall be prescribed by the Secretary designed to facilitate the uniform compilation, cross tabulation, and analysis of programmatic, participant and financial data, on statewide, local area, and other appropriate bases, necessary for reporting, monitoring, and evaluating purposes, including data necessary to comply with Section 188 (WIA section 185(c)(2));
- require that recipients of funds under title I of WIA shall maintain such records and submit such reports in such form and containing such information as the Secretary may require regarding the performance of programs and activities carried out under title I of WIA (section 185(a)(2));
- specify that the reports shall include information about programs and activities carried out under title I of WIA pertaining to:

The relevant demographic characteristics (including race, ethnicity, sex, and age) and other related information regarding participants;

The programs and activities in which participants are enrolled, and the length of time that participants are engaged in such programs and activities;

Outcomes of the programs and activities for participants, including the occupations of participants, and placement for participants in nontraditional employment;

Specified costs of the programs and activities; and

Information necessary to prepare reports to comply with section 188 and 29 CFR Part 37 (section 185(d)(1) (a-e)).

- compel the States to submit to the Secretary, on a quarterly basis, a summary of the reports submitted to the Governor under WIA sections 185(e)(1) and 185(e)(2);

Other requirements for the annual report are contained in WIA Section 136(d) which provides that:

1. In general - Each State that receives an allotment under section 127 or 132 shall annually prepare and submit to the Secretary a report on the progress of the State in achieving State performance measures, including information on the levels of performance achieved by the State with respect to the core indicators of performance and the customer satisfaction indicator. The annual report also shall include information regarding the progress of local areas in the State in achieving local performance measures, including information on the levels of performance achieved by the areas with respect to the core indicators of performance and the customer satisfaction indicator. The report also shall include information on the status of State evaluations of workforce investment activities described in subsection (e).

2. Additional Information - In preparing such report, the State shall include, at a minimum, information on participants in workforce investment activities authorized under WIA title I subtitle B relating to:

- ✓ entry by participants who have completed training services provided under section 134(d)(4) into unsubsidized employment related to the training received;
- ✓ wages at entry into employment for participants in workforce investment activities who entered unsubsidized employment, including the rate of wage replacement for such participants who are dislocated workers;
- ✓ cost of workforce investment activities relative to the effect of the activities on the performance of participants;
- ✓ retention and earnings received in unsubsidized employment 12 months after entry into the employment;
- ✓ performance with respect to the indicators of performance specified in WIA section 136(b)(2)(A) (core indicators of performance) of participants in workforce investment activities who received the training services compared with the performance of participants in workforce investment activities who received only services other than the training services (excluding participants who received only self-service and informational activities); and
- ✓ performance with respect to the indicators of performance specified in WIA section 136(b)(2)(A) (core indicators of performance) of recipients of public assistance, out-of-school youth, veterans, individuals with disabilities, displaced homemakers, and older individuals.

The Information Dissemination section in WIA section 136(d)(3) directs that The Secretary:

- ✓ shall make the information contained in such reports available to the general public through publication and other appropriate methods;
- ✓ shall disseminate State-by-State comparisons of information; and
- ✓ shall provide the appropriate congressional committees with copies of such reports.

Finally, in section 189(d) the Secretary is directed to prepare and submit to Congress an annual report regarding the programs and activities carried out under title I of WIA. The report must include-

- ✓ a summary of the achievements, failures and problems of the programs and activities in meeting the objectives WIA title I;
- ✓ a summary of major findings from research, evaluations, pilot projects, and experiments conducted under WIA title I in the fiscal year prior to the submission of the report;
- ✓ recommendations for modifications in the programs and activities based on analysis of such findings; and
- ✓ such other recommendations for legislative or administrative action as the Secretary determines to be appropriate.

## **2. Uses of Information**

At the local and State levels, the information collected in this reporting system will be used in the preparation and maintenance of consumer reports.

[Attachment A](#) contains a list of the individual record items, the purpose for each item and WIA group (i.e., adults, dislocated workers and youth) applicability of each item. Information is used by the local, state and national levels:

- a. To share program information with stakeholders (participants, businesses, taxpayers), Congress and others;
- b. To continuously improve the quality, effectiveness and efficiency of the program;
- c. To administer incentives or sanctions for outcomes that exceed or fall short of negotiated levels of performance on the core measures; and
- d. To provide management information for use in program administration and oversight.

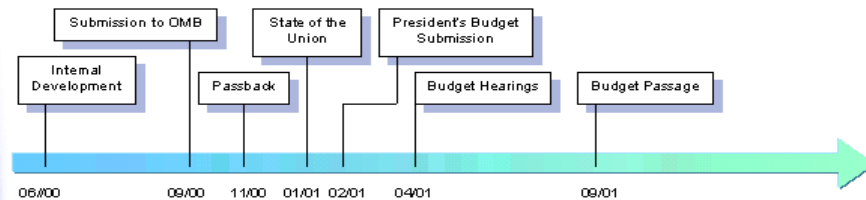
Some upcoming events for which the WIASRD, Quarterly Report and Annual Report will

be used at the national level follow.

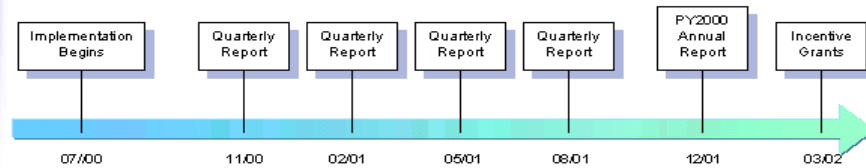
### 3. Collection Technology

## Timelines and Important Considerations

### Budget/GPRA Cycle



### Workforce Investment Act



### Reauthorization of WIA

- 2/2000 Reauthorization Begins
- 1/2003 Reauthorization Budget Presented
- 1/2003 Reauthorization of WIA

### OMB Approval

- 60 days + instructions

Although the Department provides uniform data elements and data definitions, it is left to the States and local areas to decide the best methodology for collecting data given their unique circumstances and resource availability. The one exception to this policy is that States must use the prescribed telephone survey process for collecting customer satisfaction information from a specified minimum number of program participants and employers. However, States may add additional items to the list of required questions. States report all information electronically.

The use of wage records as the primary source of data on wages and employment will ultimately result in decreased burden hours, although the initial set up may impose a small burden up front. The previous employment and training program, The Job Training Partnership Act (JTPA), required the use of follow-up surveys with terminees. Attachment C contains a detailed explanation for the use of wage records and supplemental data.

#### **4. Avoidance of Duplication**

A hallmark of WIA is increased accountability in exchange for optimal flexibility. Two ways in which the Workforce Investment Act has strengthened accountability over the JTPA is by requiring more comprehensive performance standards and by creating quarterly and annual report. Additional data items are needed on the individual record, The Workforce Investment Act Title I-B Standardized Record Data (WIASRD), to support the measures and much of this data will be used in the preparation of the quarterly and annual performance reports.

The Department has minimized the reporting burden by establishing the number of data elements required commensurate with the level of resources expended and services received. States need not report on individuals using self-services or informational core services only. A very limited number of items are required for those using other core services. More items are expected for those receiving intensive and/or training services.

#### **5. Minimizing Burden on Small Businesses or Other Small Entities**

The involvement of small businesses or other small entities for reporting purposes is extremely limited. In fact, the only time they may required to be contacted is in the collection of customer satisfaction data. The questionnaire contains only three questions (though States may choose to add other items for their own purposes). The survey methodology uses a nationally recognized system employed in both the public and private sectors. States serving many customers may take advantage of a sampling method rather than contacting each business.

#### **6. Consequences of Not Reporting or Reporting With Less Frequency**

The Workforce Investment Act is very specific about the reporting requirements and reporting frequency. Thousands of individuals and business that depend upon benefits from the services provided by WIA would no longer have access to its impressive array of programming options since funding for the WIA program would be compromised if the Department did not comply.

The Final Rule at 20 CFR 667.300(d) (65F.R. 49429 August 11, 2000) which governs the due date states:

Financial reports and participant data reports are due no later than 45 days after the end of each quarter unless otherwise specified in reporting instructions. A final financial report is required 90 days after the expiration of a funding period or the termination of grant support.

Section 667.300(e)(1) contains the sanctions for failure to file timely annual reports:

A State failing to submit any of these annual performance progress reports within 45 days of the due date may have its grant (for that program or all title I, subpart B programs) for the succeeding year reduced by as much as 5 percent, as provided by WIA section 136(g)(1)(B).

Section 667.300(e)(2) continues with:

States submitting annual performance progress reports that cannot be validated or verified as accurately counting and reporting activities in accordance with the reporting instructions, may be treated as failing to submit annual reports, and be subject to sanction. Sanctions related to State performance or failure to submit these reports timely cannot result in a total grant reduction of more than five percent. Any sanction would be in addition to having to repay the amount of any incentive funds granted based on the invalid report.

## **7. Special Circumstances**

None of the special reporting circumstances apply to the WIA reporting package.

## **8. Consultation Efforts**

**a.** The Department of Labor engaged in an extensive informal consultation process in the development of the WIA Performance Reporting system. As part of the informal consultation process, we provided an early draft of the annual report requirements to the six early implementing States for comment and many of their suggestions have been adopted. We also shared early drafts with our Department of Education partners in our efforts toward development of common federal reporting systems. We incorporated definitions used by the United States Department of Education when appropriate - especially to educationally related data items. This will simplify and streamline definitions as local areas and one-stops may report information to many federal, state and local funding sources. We provided drafts of the individual record and a table listing the requirements for the annual report to:

-Regional, State and local staff attending the Journey to Excellence Conference in Orlando, Florida. The documents were then posted and widely distributed on the US Workforce Web Site ([www.usworkforce.org](http://www.usworkforce.org)).

- During a meeting with the WIA stakeholders held to share these documents and the documents regarding performance measures and the negotiation process, organizations were invited to provide comments and suggestions.

**b.** We published a Federal Register Notice (FRN) on April 3, 2000 which solicited comments in a formalized process. In response, 29 sets of comments were received by, or soon after, the comment period from a diverse set of WIA stakeholders including:

State Staff Members	18 sets of comments
Education Partners	4 sets of comments
Local Workforce Investment Boards	2 sets of comments
National Associations	2 sets of comments
Private Sector	1 set of comments
Unions	1 set of comments
Regional Staff	1 set of comments

We thoroughly reviewed all of the comments received. We also considered questions

gathered from other correspondence and during recent national, regional and state technical assistance efforts.

Some comments contained suggestions for improving an individual data item on the WIASRD. We incorporated into the report whenever feasible. For example, items regarding participation in partner programs on the original individual record required twenty-six separate yes or no responses. We made these responses optional and required only when local areas elect to use this opportunity to take credit for outcomes received from activities obtained in cooperation with partner programs.

Overall, the comments reflected concerns in five main themes. Within each theme, we identified general issues and prepared an initial DOL response. These issues and responses are summarized as follows:

<b>Summary of Federal Register Notice Comments</b>	
<b>Main Themes</b>	<b>General Issues/DOL Preliminary Response</b> (Some of DOL's positions changed after meetings with the partners. These items are noted with an '*' and DOL's current position is included in parenthesis.)
<b>1. Reporting Burden</b>	<p><b>Issue:</b> Not all burden hours accounted for  <b>Response:</b> Revised accountings of burden hours</p> <p><b>Issue:</b> Overly burdensome reporting requirements  <b>Response:</b> Simplified the reporting requirements where possible</p> <p><b>Issue:</b> Reporting on all participants rather than exiters  <b>Response:</b> Reviewed participant/exiter options. Met with Stakeholders and explained the need for participant data*. (Following additional meetings with the partners, DOL agreed that participant data will be required for exiters rather than all participants on an annual basis.)</p> <p><b>Issue:</b> Large quantity of reporting items  <b>Response:</b> Met with the Stakeholders and explained each item. We reduced the number of reporting items or responses where possible.</p>
<b>2. Reporting Due Date</b>	<p><b>Issue:</b> Due date vs. data availability for the annual report  <b>Response:</b> Changed the due date from September 30 to November 15.* (Following additional meetings with the partners, the final due date for the annual report was set for December 1.)</p> <p><b>Issue:</b> Lack of start-up time  <b>Response:</b> Made submission of the first quarterly report optional. The first quarterly report will now be submitted in February, 2001.</p>

<p><b>3. Concurrent Participation</b></p>	<p><b>Issue:</b> Reporting of partner program outcomes is a duplication of effort  <b>Response:</b> Met with Stakeholders and explained the purpose of the item. Provided enhanced explanation in the reporting guidance</p> <p><b>Issue:</b> Reporting of partner program participation is burdensome  <b>Response:</b> Reporting on partner program participation is optional. States are encouraged to take advantage of this opportunity to track and take credit for outcomes obtained from coordinated services. It is anticipated that States opting to do so will attain higher levels of performance.</p>
<p><b>4. Customer Satisfaction</b></p>	<p><b>Issue:</b> Flawed design (i.e., Local area results do not roll-up to State level outcomes.)  <b>Response:</b> We issued additional guidance for conducting customer satisfaction surveys that provides a methodology for rolling up local area results to State-level outcomes.</p> <p><b>Issue:</b> Overly burdensome  <b>Response:</b> A commenter assumed the requirement for 500 participant and 500 employer responses was a requirement at both the State and local levels. The requirement is state-wide only, we have provided additional guidance in TEGL 6-00 and technical assistance to States stressing this information.</p>
<p><b>5. Quarterly Report</b></p>	<p><b>Issue:</b> The quarterly report is confusing  <b>Response:</b> We agreed and re-engineered the report using our Stakeholders' suggestions</p> <p><b>Issue:</b> Some individuals felt the quarterly report should be cumulative rather than a "snapshot" of quarterly activity.  <b>Response:</b> We reexamined the options and agreed there is a case to be made for each of these choices. We concluded the "snapshot" approach to be the most advantageous for the following reasons: 1) Although it is quite easy to add up the results of singular quarterly reports, it is much more difficult to separate out the results of one quarter from a cumulative report; 2) WIA Title I B indicators of performance are measured over different time periods, including during participation (e.g., youth skill attainment), in the quarter after exit (e.g., entered employment), and in the third quarter after exit (e.g., six month earnings and employment retention). It seems apparent that users of these reports to follow which periods of time were being included in the report.* Following additional meetings with the partners, DOL agreed to revise the quarterly report to a cumulative format.</p>

c. DOL national and regional staff conducted technical assistance efforts for States and Local Areas throughout the spring and early summer explaining the reporting system, discussing the comments received from the Federal Register publication and answering questions about reporting (e.g., presentations in Kansas City at a regional conference, in New Mexico during JETT\*CON and ongoing Question and Answer exchanges with State and local staff, etc.) Based on the valuable responses to the Federal Register Notice and comments received during presentations, DOL prepared a paperwork package for submission to OMB under the Paperwork Reduction Act of 1995 (44 U.S.C., chapter 35). This package was not submitted because of our interest in developing a true partnership with the stakeholders of the WIA system.



d. Various meetings were convened with partners including The National Association of Counties, the National Governors' Association, the National Council of Mayors, and the National Association of State Workforce Agencies throughout the summer in Washington D.C. and in Chicago to discuss the reporting system answer questions, clarify policies, share concerns, and discuss the process for further refining and expanding the reporting system over time.

e. On September 26-27, 2000, DOL convened a meeting of 35 of Federal, State and Local representatives to establish a partnership among the three levels of the system and to reach agreement on the major issues and concerns generated by the April 3, 2000, Federal Register Notice. The work group reached agreement on a number of issues and made recommendations for changes. They also created two sub-groups to address specific reporting concerns regarding the individual record and the alignment of the periods of performance with reporting dates. The creation of these sub-groups and their interest in jointly building a WIA reporting system was viewed as a very positive step by stakeholders. The agreements reached by the work group addresses the issues and main themes of the original Federal Register Notice comments. The main agreements include the following:

- ▶ States will submit a quarterly report with some modifications from the original proposal to streamline it and to make it less burdensome on States. The data would be cumulative.
- ▶ The first quarterly report will not be due until February 14, 2001.
  - ▶ State annual reports will be due December first annually beginning in 2001. This position is the result of the work by the sub-group on Performance Alignment.
- ▶ States will have the option on whether to submit all individual records or a "sufficient number" (as defined by DOL for statistical validity) annually.
- ▶ For reporting on participants, the State will submit WIASRD records only on exiters from WIA Title I-B programs.
- ▶ The individual record to be submitted by States will reflect the position of a sub-group that reviewed the WIASRD for required information and the point of collection for each item. Items not required will be deleted from this data collection and reporting system.

The attached individual record, quarterly report, and annual report reflect the agreements reached with our partners. We have incorporated of all these recommendations into the WIA reporting system. We also plan to continue work with these partners to develop future enhancements to the system.

## **9. Payment to Respondents**

There is no payment to respondents other than the formula funds and incentive funds provided for in the Workforce Investment Act.

## 10. Assurance of Confidentiality

The Department is responsible for protecting the confidentiality of the data and will maintain the data in accordance with all applicable Federal laws, with particular emphasis upon compliance with the provisions of the Privacy Act and the Freedom of Information Act.

Additionally, the sharing or release of information collected from program participants and employers must be protected in each State as governed by State law. States prohibit the disclosure of participant and employer identity, by name or information, unless specifically requested by the individual.

## 11. Justification for Sensitive Questions

There are no sensitive questions included in the proposed data collection. Individual records, which contain wage record information, may be submitted using a unique personal identifier or pseudo-social security number.

## 12. Burden Hours and Respondent Cost

Average Time Per Response: 2,384 hours. The actual response time will vary by number of Local Workforce Investment Boards in the State and by the size of the population served in the State.

Cite/ Reference	Total Respondents	Frequency	Total Responses	Average Time Per Response	Burden (Total Nat. Hrs.)
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Individual Records	53 entities are required to submit individual records 6 entities may submit individual records <sup>1</sup>	Annually	53 (One set of records per respondent. Set will vary in size depending on the number of individuals served in the jurisdiction.)	13,272 hours	703,416 hours
Annual Report	See above	Annually	53	45 hours	2,385 hours
Customer Satisfaction Survey	53 States* Agency Administration 53 Overhead 53	Quarterly/ Annually	(Results to be included in the Annual and Quarterly Reports)	5 min. (1/12 hr.)**  688 hours  154 hours	4,417 hours  36,464 hours  8,162 hours
Quarterly Summary Report	53	Quarterly	212 (53X4)	16 hours	3,392 hrs.
Totals	53	Quarterly/ Annually	318	2,384 hours	758,236 hrs.

\* Each State will submit one index score for the employer responses (500 completed surveys per year) and participant responses (500 completed surveys per year).

\*\*Assumes only 3 ASCI questions are administered.

## Explanation of Burden Hours

### Individual Record - 703,416 hrs.

Baseline: 8,768 hrs./reporting unit in last Paperwork Reduction Package regarding the JTPA reporting system (SPIR = 56 State reporting units).

Factor: 51% higher due to 1) increase in size of record, and 2) increase in number of program participants. Increases were not cumulative; some allowance made for economies of scale and learning curve.

### Annual Report - 2,385 hrs.

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<sup>1</sup> All 50 States, the District of Columbia, Puerto Rico and The U.S. Virgin Islands are required to submit individual records, quarterly reports and annual reports using the instructions and formats provided.

The Secretary may reserve up to 1/4 of 1 percent of the WIA Title I-B funds for Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Freely Associated States (The Marshall Islands, Palau and the Federated States of Micronesia). Notwithstanding any other provision of law, the Freely Associated States shall not receive any assistance for any program year that begins after September 30, 2001 (WIA section 127(b)(1)(B)(ii)(IV)). These areas have limited access to technology, wage records and unique economies that result in barriers to implementing some of the indicators of performance and to collecting and reporting data. Given these unique circumstances, regional staff will work with these entities to develop suitable reporting requirements. These areas are not eligible to receive incentive grants for exceeding negotiated levels of performance.

Estimate based on 45 hrs./reporting unit to produce one report per year (includes program run, checking, report formatting for transmission).

**Quarterly Report - 3,392 hrs.**

Estimate based on 64 hrs./reporting unit to produce four reports per year (includes program run, checking, report formatting for transmission) – 16 hrs./report.

**Customer Satisfaction Survey**

Respondents - 4,417 hrs

Estimate based on 1,000 responses per reporting unit (500 WIA participants and 500 employers) and 5 min. (1/12 hr.) per survey. This assumes the three ACSI questions are asked. States may incur increased costs in the event additional questions are asked on the surveys.

Survey Administration - 36,464 hrs.

Estimate based on 41 minutes to obtain a completed survey (telephone contacts, call-backs, data entry). This estimate assumes 50% of the respondents for each State will take an average of 30 minutes each, 25% will require an average of 45 minutes, and 25% will require an average of 60 minutes to obtain each completed survey.

Survey Preparation and Overhead - 8,162 hrs.

Estimate based on:

Survey development (preparation of questionnaire and telephone script for interviewer) - 40 hrs. / reporting unit

Sample selection - 24 hrs./reporting unit

Survey set-up (setting up survey for telephone administration and creation of a database) - 40 hrs./reporting unit

Compilation of results (includes generation of descriptive statistics and calculation of index for participants and employers) - 50 hrs./reporting unit

**13. Data Collection/Recordkeeping Burden Costs**

- a. Capital/Start-up Costs: \$919,213 (1/3 staff yr. X \$52,083 X 53)

Estimate based on 1/3 staff year to develop WIASRD data record; this estimate was based on experience of Utah in converting from SPIR to WIASRD and programming time for the Data Validation and Denied Claims Accuracy pilots. A staff year cost factor of \$52,083 was applied; this is the salary/benefits rate used in the FY 2001 budget.

- b. Operation and Maintenance Costs: \$18,986,229

The estimate is based on the \$52,083 staff year cost factor applied to the burden hours listed above. The burden hours for participant and employer responses to the customer satisfaction surveys equates to \$66,780, while the burden cost for developing the survey and start-up totals \$204,376.

States opting to roll up local customer satisfaction survey results do not have to administer separate statewide surveys. This would reduce the money spent at the State level to capture statewide results. These savings were not accounted for as it is not known how many States will select this option.

**14. Annualized Cost to the Federal Government**

The annual costs of maintaining the WIASRD data base, production and distribution of

the quarterly and annual reports, development of technical assistance guides are borne by the Department and are estimated to amount to \$285,000. Since the American Customer Satisfaction Index (ACSI™) is proprietary property of the University of Michigan and is owned by Claes Fornell International (CFI) Group, we have established a license agreement with the University of Michigan that will allow States the use of the ACSI™ for a statewide sample of participants and employers. This will cost approximately \$160,000 per year. States that want to use the ACSI™ for measuring customer satisfaction for each local area or for additional assistance in measuring, analyzing and understanding ACSI™ data will have to establish an independent contract with the University of Michigan. Additional federal staff and associated costs are approximately \$125,000.

### 15. Explanation for Proposed Changes in Burden

The total burden hours increased as a result of changes made to the required response rates for the two customer satisfaction surveys. The increased hours and cost reflects the level of work involved in moving from a required 50% response rate to a 70% required response rate for the two surveys.

### 16. Submission and Publishing Schedules

Product	Submission Date	Publishing Date
<b>Individual Record</b>	December 1, annually, beginning 2001.	It is envisioned that information (minus individual identifiers) will be available through web-based technology in the following program year.
<b>Quarterly Summary Report</b>	Within 45 days following the end of the quarter	Although the department will use this information to prepare GPRA, budget and ad hoc reports, it does not plan to publish the information separately.
<b>Annual Report</b>	December 1, annually, beginning 2001.	DOL plans to publish the information on a web site in February.
<b>Customer Satisfaction Survey</b>	Results of the survey will be submitted in the quarterly and annual reports	N/A (Aggregate information is reported in the quarterly and annual reports)

### 17. Expiration Date Display

The expiration date will be displayed. We are not seeking approval to have this concealed. Included in the Training and Employment Guidance Letter that will formally transmit the reporting package to the system, once OMB approval has been received, will be the following statement: "It is estimated that, on average, the time needed to complete and submit the individual records, quarterly and annual reports will be \_\_\_\_\_ hours. You may submit any comments regarding these reporting documents to: The Office of Management and Budget, Docket Library, Room 10102, 725 17<sup>th</sup> Street N.W., Washington, D.C., 20503. Please include OMB control number \_\_\_\_\_ with your correspondence."

## **18. Exceptions to the Certification Statement**

There are no exceptions to the certification statement identified in Item 19 of OMB 83-I.

### **B. Employing Statistical Methods in Data Collection**

1. States have the option of submitting individual records for all exiters each year or a sample of these records. The sampling guidelines are included in [Attachment B](#) of this document.
2. The use of wage records as the primary source of wage and employment information is expected to improve data validity and eliminate most of the need for follow-up surveys. Follow-up surveys will be used as a supplemental source of data only when individuals are not covered by U.I. wage records. [Attachment C](#) contains the general guidance that was included in Training and Employment Guidance Letter 7-99 regarding the use of wage records and supplemental data sources.
2. The sampling methods for customer satisfaction surveys are described below.

## **Collection of Information Employment Statistical Methods For WIA Customer Satisfaction Survey**

(Please refer to [Attachment D](#) for added information regarding Customer Satisfaction.)

### **1. Sampling Methodology**

There are two different surveys that must be conducted to determine customer satisfaction. This requires two universes for surveying: Participants, comprised primarily of job seekers using services funded under Title I-B of the Workforce Investment Act of 1998 (WIA); and Employers, comprised of those employers being provided services from One-Stop staff.

A. The potential respondent universe for the “participant” survey will include all of those individuals who are registered under Title I-B of the Workforce Investment Act and exit in any of the four quarters of the program year. Only individuals who has received services under Title I-B and has exited can be potential respondents. The survey will be conducted in all 50 states and 2 territories covered under the Act.

B. The potential respondent universe for the “employer” survey includes all of those individuals who receive a substantial service during any of the four quarters of the program year. The survey will be conducted in all 50 states and 2 territories covered under the Act.

### **2. Procedures for the Collection of Information**

The procedure will require a sample to be drawn periodically for each of the two populations. The sample will be drawn by simple, random sample procedures each month using a random numbers table or its automated equivalent. At least 500 completed interviews are required for both the participant and employer surveys. States are required to determine the appropriate sample sizes using the required response rates and the required number of completed interviews. The sampling percentage should be constant over time to avoid under-representing or over-representing time intervals. The required minimum response rate for the first year of data collection is 50%. The required response rate for the following years will be 70%. The 500 completed surveys will provide accuracy such that 95 percent of the time the population mean would be contained within the confidence interval.

Survey results will be reported to the Department in each of the four quarters. This requires each state to determine sampling ratios for participants and employers to be applied each month. Given that this is a new program, we do not know how many participant exiters or employers served there will be in any state nor what proportion will exit or be served in a given month. What we are fairly certain of is that they are unlikely to be evenly distributed among the months; this will be especially true for participants.

### **3. Response Rates**

The estimated response rate is 50% for the first year and 70% for the following years. The brevity of the survey and call-back efforts are intended to increase response. The amount of time between the completion of services and the time of surveying will be minimized to strengthen the likelihood of contacting individuals, reducing the chance for non-response bias. Recent pilot studies showed that individuals' contact information was less likely to be valid the longer the time between their last service and the date of attempted contact. Based on the recommendations of survey contractors during the pilots, states will be required to collect primary contact information and encouraged to collect secondary contact information for participants and employers to increase the likelihood of high response rates. A third procedure to ensure data quality is that the data will be collected through a single, telephone survey methodology. This will further ensure the data collected will be comparable across the 53 reporting entities.

#### **4. Testing**

The data will be reviewed in the first years to determine if there are special populations for which this methodology is not reliable. The data will be analyzed to determine if any sub-populations are consistently under-represented in the obtained surveys. Appropriate statistical tests will be used to determine if obtained sample distributions are significantly different than the distributions of sub-populations in the population from which the sample was drawn. The population distributions will be available from the existing reporting requirements related to the core indicators and other required measures. Tests will also be undertaken to determine if the indicator can be reliably estimated with fewer than the 500 responses. This will entail a study of the impact of smaller samples on the sampling error and other distribution characteristics of the obtained sample. Since the indicator requires the comparisons of State's obtained performance level on the customer satisfaction indicators to their estimates, as well as to obtained performance levels from other states, any consideration of reducing sample size will have to be weighed against changes of effect size.

#### **5. Contacts**

##### **A. Individual Record Design and Sampling Consultant**

Rich West, Social Policy Research Associates, (510) 763-1499

##### **B. Customer Satisfaction Survey Design Consultants:**

Barry A. Goff, Ph.D., The Charter Oak Group, (860) 659-8743  
 Claes Fornell, Director - National Quality Research Center, CFI, (734) 763-9767  
 Walter Corson, Vice President, Mathematica Policy Research, (609) 275-2398  
 Jill Montaquila, Senior Statistician, WESTAT, (301) 517-4046

##### **C. Data Collectors/Analysts**

States will provide results of the survey in their Annual Reports to the Department of Labor or its designated representative for analytical purposes.





**Attachment A**  
**Justification for WIA Standardized Record (WIASRD) Items**

Data Element		Purpose							Required Items by Group						Citation	
		Maint. of Standard Record	EO	Annual Report	Core Indicator of Perform.	Eligibility Determination	General Oversight & Eval.	Additional Data for Setting Levels	Adult		Dislocated Worker		Youth			
									C	I T	C	I T	14-18	19-21		
SECTION I - INDIVIDUAL INFORMATION																
101	Individual identifier	!			!		!		▲	▲	▲	▲	▲	▲	§185(d)(1)(E)	
102	Date of birth	!	!	!	!	!	!	!	▲	▲	▲	▲	▲	▲	§136(d)(2)(F) and §185(d)(1)(A)	
103	Gender	!	!				!	!	▲	▲	▲	▲	▲	▲	§185(d)(1)(A)	
104	Individual with a disability	!	!	!		!	!	!	▲	▲	▲	▲	▲	▲	§136(d)(2)(F)and §185(d)(1)(E) Coordination with Voc. Rehab./Wagner-Peyser	
105	Ethnicity Hispanic or Latino	!	!				!	!	▲	▲	▲	▲	▲	▲	§185(d)(1)(A)	
106	Race	!	!				!	!	▲	▲	▲	▲	▲	▲	§185(d)(1)(A)	
107		Asian	!	!				!	!	▲	▲	▲	▲	▲	▲	§185(d)(1)(A)
108		Black of African American	!	!				!	!	▲	▲	▲	▲	▲	▲	§185(d)(1)(A)
109		Hawaiian Native or other Pacific Islander	!	!				!	!	▲	▲	▲	▲	▲	▲	§185(d)(1)(A)
110		White	!	!				!	!	▲	▲	▲	▲	▲	▲	§185(d)(1)(A)
111	Veteran status			!			!	!	▲	▲	▲	▲		▲	§136(d)(2)(F)	
112	Campaign veteran						!		▲	▲	▲	▲		▲	Coordination with Veterans Programs and Wagner-Peyser	
113	Disabled veteran						!		▲	▲	▲	▲		▲		
114	Recently separated veteran						!		▲	▲	▲	▲		▲		
115	Employment status at registration			!	!		!	!	▲	▲	▲	▲		▲	§136(d)	
116	Limited English language proficiency						!	!		▲		▲	▲	▲	High level of interest by Congress, et. al	
117	Single parent						!	!		▲		▲	▲	▲	High level of interest by education, Congress, et. al	
118	Unemployment Compensation programs						!			▲		▲	▲	▲	High level of interest by Congress, et. al. Coordination with UI program	
119	Low Income	!				!	!	!		▲			▲	▲	High level of interest by Congress, et. al	

**Attachment A**  
**Justification for WIA Standardized Record (WIASRD) Items**

Data Element		Purpose						Required Items by Group						Citation		
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									C	I T	C	I T	14-18		19-21	
120	Temporary Assistance to Needy Families (TANF)			!		!	!	!		▲				▲	▲	§136(d)(2)(F)
121	General Assistance (GA) (State/local government), Refugee Cash Assistance (RCA), Supplemental Security Income (SSI-SSA Title XVI)			!		!	!	!		▲				▲	▲	§136(d)(2)(F) High level of interest from funding sources
122	Pell Grant recipient							!		▲			▲	▲	▲	General oversight. One criterion of who may receive training is those who are unable to obtain grants assistance from other sources, including Pell Grants (see WIA section 134(d)(4)(B), section 663.310(d) and coordination requirements section 663.320.
123	Highest school grade completed	!		!	!	!	!	!		▲			▲	▲	▲	§136(d)(2)(F) Used in calculation of Youth Diploma Measure
	Additional Individual Information Needed for Dislocated Workers and Displaced Homemakers															
124	Displaced homemaker			!		!	!	!				▲	▲			§136(d)(2)(F)
125	Date of actual qualifying dislocation			!	!	!	!					▲	▲			§136(f)(2) Used in calculation of Earnings Replacement
	Additional Individual Information Needed for Youth															
126	Homeless Individual and/or runaway youth					!	!	!						▲	▲	Targeted group § 129(c)(5)
127	Offender					!	!	!						▲	▲	Targeted group § 129(c)(5)

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		Maint. of Standard Record	EO	Annual Report	Core Indicator of Perform.	Eligibility Determination	General Oversight & Eval.	Additional Data for Setting Levels	Adult		Dislocated Worker		Youth		
									C	I T	C	I T	14-18	19-21	
128	Pregnant or parenting youth					!	!	!					▲	▲	Targeted group § 129(c)(5)
129	Youth who needs additional assistance					!	!						▲	▲	Targeted group § 101(13)(C)(vi) and general oversight
130	Education status at time of registration	!				!	!	!					▲	▲	Determination of in-school/out-of-school status § 129(c)(4)
131	Basic literacy skills deficiency					!	!	!					▲	▲	General oversight. High level of interest by Congress, et. al 101(13)(C)(i)
	SECTION II - ACTIVITY AND SERVICES INFORMATION														
301	ETA-assigned Local and State board/Statewide code	!	!	!	!		!		▲	▲	▲	▲	▲	▲	§136(d)(1)
302	Date of WIA Title I-B registration	!			!		!		▲	▲	▲	▲	▲	▲	§136(d)(1) and §185(d)(1)(B)
303	Date of WIA exit	!		!	!		!		▲	▲	▲	▲	▲	▲	§185(d)(1)(B)
	WIA Title I B Participation														
304	Adult (Local)	!		!	!	!	!	!	▲	▲					§136(d)(1) and §185(d)(1)(B)
305	Dislocated Worker (Local)	!		!	!	!	!	!			▲	▲			§136(d)(1) and §185(d)(1)(B)
306	Youth (Local)	!		!	!	!	!	!					▲	▲	§136(d)(1) and §185(d)(1)(B)
307	Youth (Statewide (15%) Activities)	!		!	!	!	!	!					▲	▲	§136(d)(1) and §185(d)(1)(B)
308	Displaced Homemaker (Statewide (15%) Activities)	!		!	!	!	!	!	▲	▲				▲	§136(d)(1) and §185(d)(1)(B)
309	Incumbent Worker (Statewide (15%) Activities)	!		!	!	!	!	!			▲	▲			§136(d)(1) and §185(d)(1)(B)
310	Other (Statewide (15%) Activities)	!		!	!	!	!	!			▲	▲			§136(d)(1) and §185(d)(1)(B)
311	Rapid Response	!		!		!	!	!			▲	▲			§136(d)(1) and §185(d)(1)(B)
312	Additional Rapid Response	!		!		!	!	!			▲	▲			

Data Element		Purpose						Required Items by Group						Citation	
		Maint. of Standard Record	EO	Annual Report	Core Indicator of Perform.	Eligibility Determination	General Oversight & Eval.	Additional Data for Setting Levels	Adult		Dislocated Worker		Youth		
									C	I T	C	I T	14-18		19-21
313a	National Emergency Grant (first grant #)	!		!	!		!	!			▲	▲			§136(d)(1) and §185(d)(1)(B)
313b	National Emergency Grant (second grant #)	!		!	!		!	!			▲	▲			§136(d)(1) and §185(d)(1)(B)
313c	National Emergency Grant (third grant #)	!		!	!		!	!			▲	▲			§136(d)(1) and §185(d)(1)(B)
	WIA Title I B Partner Program Participation														
314	Adult Education	!					!								If these optional items are used, the information may be used to extend the exit date and/or to include outcomes obtained by partner programs
315	Job Crops	!					!								
316	Migrant and Seasonal Farmworker Programs	!					!								
317	Native American Programs	!					!								
318	Veterans' Programs	!					!								
319	Trade Adjustment Act (TAA)	!					!								
320	NAFTA-TAA	!					!								
321	Vocational Education	!					!								
322	Vocational Rehabilitation	!					!								
323	Wagner-Peyser	!					!								
324	Welfare-to-Work Participant	!					!								
325	Employment and Training programs carried out under the Community Services Block Grant Act	!					!								
326	Employment and Training programs carried out under the Dept. of Housing and Urban Development	!					!								
327	Title V activities	!					!								
328	Food Stamps Employment and Training	!					!								
329	Other non-WIA programs	!					!								

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Data Element		Purpose							Required Items by Group						Citation
		Maint. of Standard Record	EO	Annual Report	Core Indicator of Perform.	Eligibility Determination	General Oversight & Eval.	Additional Data for Setting Levels	Adult		Dislocated Worker		Youth		
									C	I T	C	I T	14- 18	19- 21	
330	Supportive services (except needs-related payments) received	!		!			!		▲	▲	▲	▲	▲	▲	Needed for general oversight. May be used in preparing cost of activities information (section 136(d)(2)(C) and section 185(d)(1)(B)).
331	Needs-related payments (Adults/Dislocated Workers in training services) or Stipends (Youth in training)	!		!			!			▲		▲	▲	▲	
332	Date of first intensive service	!		!			!			▲		▲			§136(d)(1) and §185(d)(1)(B)
333	Date of first training service	!		!	!		!			▲		▲			§136(d)(1) and §185(d)(1)(B)
334	Established Individualized Training Account						!			▲		▲			High level of interest by Congress, et. al. Needed for general oversight. Information may be used in discussion of cost of activities in annual report. (§136(d)(2)(C)).
335	Adult education, basic skills and/or literacy activities	!		!	!		!			▲		▲			§136(d)(1) and §185(d)(1)(B)
336	On-the-job training	!		!	!		!			▲		▲			§136(d)(1) and §185(d)(1)(B)
337	Occupational skills training or skills upgrading/retraining, and/or workplace training	!		!	!		!			▲		▲			§136(d)(1) and §185(d)(1)(B)
	Items for Adults, Dislocated Workers, and Youth														
338	Occupational skills training code	!		!			!			▲		▲		▲	§185(d)(1)(C)
339	Occupational skills training code type	!		!			!			▲		▲		▲	§185(d)(1)(C)
	YOUTH SERVICES														
340	Educational achievement services	!		!			!						▲	▲	§185(d)(1)(B)
341	Employment services	!		!			!						▲	▲	§185(d)(1)(B)

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Data Element		Purpose							Required Items by Group						Citation	
		Maint. of Standard Record	EO	Annual Report	Core Indicator of Perform.	Eligibility Determination	General Oversight & Eval.	Additional Data for Setting Levels	Adult		Dislocated Worker		Youth			
									C	I T	C	I T	14-18	19-21		
342	Received Summer Youth Employment Opportunities	!		!			!							▲	▲	§185(d)(1)(B)
343	Additional support for youth services	!		!			!							▲	▲	§185(d)(1)(B)
344	Leadership development opportunities	!		!			!							▲	▲	§185(d)(1)(B)
345	Received follow-up services	!					!							▲	▲	§185(d)(1)(B)
	SECTION IIIA - PROGRAM OUTCOMES FOR ADULTS (18 AND OVER), DISLOCATED WORKERS AND OLDER YOUTH (19-21)															
601	Employed in quarter after exit quarter	!		!	!		!		▲	▲	▲	▲			▲	§136(d)(2)(A) and §185(d)(1) (C) Entered Employment, Earnings Change, Earnings Replacement and Retention
602	Source of supplemental data			!	!		!		▲	▲	▲	▲			▲	§136(d)(2)(A) and §185(d)(1) (C) Entered Employment and Earnings Change
	EMPLOYMENT INFORMATION															
603	Occupational code (if available)	!		!			!		▲	▲	▲	▲			▲	§136(d)(2) and §185(d)(1)(C)
604	Occupational code type	!		!			!		▲	▲	▲	▲			▲	§136(d)(2) and §185(d)(1)(C)
605	Entered training-related employment			!			!			▲		▲			▲	§136(d)(2)(A)
606	Method used to determine training-related employment						!			▲		▲			▲	§136(d)(2)(A)
607	Entered non-traditional employment			!			!		▲	▲	▲	▲			▲	§185(d)(2)(C)
608	Employed in third quarter after exit quarter	!		!	!		!		▲	▲	▲	▲			▲	§136(d)(1) and §185(d)(1)(C) - Retention

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									C	I T	C	I T	14-18		19-21
609	Source of supplemental data			!	!		!		▲	▲	▲	▲		▲	§136(d)(2)(A) and §185(d)(1)(C) Retention and Earnings Change
610	Employed in fifth quarter after exit quarter	!		!			!		▲	▲	▲	▲		▲	§136(d)(2)(D) and §185(d)(1)(C) 12 Mo. Retention and 12 Mo. Earnings
611	Source of supplemental data			!			!		▲	▲	▲	▲		▲	Change



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Data Element			Purpose							Required Items by Group						Citation
			Maint. of Standard Record	EO	Annual Report	Core Indicator of Perform.	Eligibility Determination	General Oversight & Eval.	Additional Data for Setting Levels	Adult		Dislocated Worker		Youth		
										C	I T	C	I T	14-18	19-21	
612	Total earnings from wage records for the:	Third quarter prior to registration	!		!	!		!		▲	▲	▲	▲		▲	§136(f)(2) Earnings Change
613		Third quarter prior to dislocation	!		!	!		!				▲	▲			§136(f)(2) Earnings Replacement
614		Second quarter prior to registration	!		!	!		!		▲	▲	▲	▲		▲	§136(f)(2) Earnings Change
615		Second quarter prior to dislocation	!		!	!		!				▲	▲			§136(f)(2) Earnings Replacement
616		First quarter following the exit quarter	!		!	!		!		▲	▲	▲	▲		▲	§136(f)(2) Entered Employment
617		Second quarter following the exit quarter	!		!	!		!		▲	▲	▲	▲		▲	§136(f)(2) Earnings Change/ Replacement
18		Third quarter following the exit quarter	!		!	!		!		▲	▲	▲	▲		▲	§136(f)(2) Retention and Earnings Change/ Replacement
619		Fourth quarter following the exit quarter	!		!			!		▲	▲	▲	▲		▲	§136(f)(2) 12 Mo. Earnings
620		Fifth quarter following the exit quarter	!		!			!		▲	▲	▲	▲		▲	§136(f)(2) 12 Mo. Earnings and 12 Mo. Retention
621	Type of recognized educational/occupational certificate/credential/diploma/degree attained		!		!	!		!		▲	▲	▲	▲		▲	§136(d)(1) and §185(d)(1)(C) Credential
622	Other reasons for exit		!		!	!		!		▲	▲	▲	▲	▲	▲	§136(d)(1) and §185(d)(1)(C)
623	In postsecondary education or advanced training in quarter after exit		!		!	!		!							▲	§136(d)(1) and §185(d)(1)(C) Older Youth Credential, Older Youth Entered Employment, and Older Youth Earnings Change
624	In postsecondary education or advanced training in third quarter after exit		!		!	!		!							▲	§136(d)(1) and §185(d)(1)(C) Older Youth Retention and Earnings change

Data Element		Purpose							Required Items by Group						Citation
		Maint. of Standard Record	EO	Annual Report	Core Indicator of Perform.	Eligibility Determination	General Oversight & Eval.	Additional Data for Setting Levels	Adult		Dislocated Worker		Youth		
									C	I T	C	I T	14-18	19-21	
	SECTION IIIB - OUTCOMES FOR YOUNGER YOUTH (Aged 14-18 at registration)														
625	Goal #1 type	!		!	!		!						▲		§136(d)(1) and §185(d)(1)(C)  Youth Goal Attainment
626	Date goal #1 was set	!		!	!		!						▲		
627	Attainment of goal #1	!		!	!		!						▲		
628	Date attained goal #1	!		!	!		!						▲		
629	Goal #2 type	!		!	!		!						▲		
630	Date goal #2 was set	!		!	!		!						▲		
631	Attainment of goal #2	!		!	!		!						▲		
632	Date attained goal #2	!		!	!		!						▲		
633	Goal #3 type	!		!	!		!						▲		
634	Date goal #3 was set	!		!	!		!						▲		
635	Attainment of goal #3	!		!	!		!						▲		
636	Date attained goal #3	!		!	!		!						▲		
637-672	Information on additional youth goals	!		!	!		!						▲		
673	Attained Secondary School Diploma	!		!	!		!						▲		§136(d)(1) and §185(d)(1)(C) Youth Diploma
674	Date of high school diploma or GED attainment	!		!	!		!						▲		
675	Youth placement information	!					!						▲		§136(b)(2)(A)(I)
676	Youth retention information	!		!	!		!						▲		§136(d)(1) and §185(d)(1)(C) Youth Retention

## Attachment B

### Sampling Guidelines for the Individual Record (WIASRD)

States may send DOL samples of records instead of all records. Samples must adhere to the following guidelines:

- The universe (or sampling frame) from which the samples are to be drawn consists of all exiters in the last three complete program years. Submissions should not include individuals who terminated from JTPA. Thus, for most States, the submission due December 1, 2001 will include only Program Year (PY) 2000 exiters. For early implementation States, it will include only PY 2000 and PY 1999 exiters.
- Samples are to be selected randomly using generally accepted statistical sampling methods.
- The minimum sampling rate is the *larger* of:
  - 33%.
  - The rate needed to achieve a sample of 2,500 in the funding stream (adult, dislocated worker and youth) with the *smallest* number of exiters during the program year. This sampling rate equals 2,500 divided by the number of exiters from that funding stream during the program year.
- The same sampling rate must be used to select the entire sample for each program year (i.e., the sampling rate must be applied to all funding streams).
- If any funding stream has fewer than 2,500 exiters in a program year, sampling is not allowed.
- A different sampling rate may be used for each program year included in the sample. However, States having the option of applying the largest of the minimum sampling rates calculated for the three program years in the submission to all three program years.
- The samples for each of the two earliest program years in a submission may be either a new sample selected for the submission or the same sample selected for the submission made the previous year.

NOTE: Although States may submit samples of records, the data items included in the record must be collected and maintained for all individuals.

For many States, the effort involved in programming the selection of the sample will outweigh the benefits of sampling. Therefore, States are encouraged to consider whether they will achieve a net benefit from sampling before deciding to sample. States are not required to sample and may decide to routinely submit all records to DOL.

The following worksheet may be used to determine the required sampling rate for each program year included in the submission:

	A Number of Exiters During Program Year	B Smallest Value in Column A	C 2,500 divided by Column B	D Minimum Sampling Rate (Largest Value in Column C)
Overall minimum			33%	
Adults				
Dislocated Workers				
Youth				

A sample of a completed worksheet follows for a State with 8,000 adult exiters, 7,000 dislocated worker exiters, and 4000 youth in a program year.

	A Number of Exiters During Program Year	B Smallest Value in Column A	C 2,500 divided by Column B	D Minimum Sampling Rate (Largest Value in Column C)
Overall minimum			33%	63%
Adults	8,000	4,000	63%	
Dislocated Workers	7,000			
Youth	4,000			

For this State and program year, the funding stream with the fewest number of exiters is youth, with 4,000 exiters. Thus, 4000 is entered in Column B. The value entered in Column C is 2,500 divided by 4,000, which is 63%. Because this value is greater than 33%, the minimum sampling rate is 63% for all funding streams. This value of 63% is entered in Column D.

## Attachment C

### Use of Wage Records and Supplemental Data Sources

(This information is based on TEGL 7-99, the Core and Customer Satisfaction Measures document but also contains some refinements to the original document.)

#### *Unemployment Insurance Wage Records*

To the extent it is consistent with State law, the Unemployment Insurance (UI) wage records will be the primary data source for tracking entered employment, employment retention, earnings change/replacement, the employment portion of the credential rate for adults, dislocated workers, and older youth and the employment portion of the younger youth retention rate. In addition to UI wage records within a State, the Wage Record Interchange System (in the pilot stages at this time) and other State Employment Security Offices (to track UI wage records across States) are considered acceptable wage record sources. If individuals are not found in the UI wage record sources, States may use supplemental data sources for the entered employment, retention, credential and younger youth retention measures. However, the only data source that can be used for the earnings change/replacement measures is the UI wage records.

#### *Supplemental Data Sources*

While the majority of employment in a State's workforce is "covered" and will be in the UI wage records, certain types of employers and employees are excluded by Federal unemployment law standards or are not covered under a State's UI law. "Uncovered" employment typically includes Federal employment, postal service, military, railroad, out-of-state employment, self employment, some agricultural employment, and some employment where earnings are primarily based on commission. States have flexibility in methods used to obtain information on participants in "uncovered" employment. Examples include:

- 1) Case management, follow-up services, and surveys of participant to determine that the participant is employed and written documentation of that employment; or
- 2) Record sharing and/or automated record matching with other employment and administrative databases to determine and document employment consistent with applicable privacy laws. These databases may include:
  - Office of Personnel Management (Federal Career Service);
  - United States Postal Service;
  - Railroad Retirement System;
  - U.S. Department of Defense;
  - State Department of Revenue or Tax (State income tax for self-reported occupations); and
  - Government Employment Records (State government, local government, judicial employment, public school employment, etc.);

Most States will likely utilize case management, follow-up services, and surveys of participants to capture supplemental data. Some States already have record sharing and/or automated matching systems in place that they will be able to use to track "uncovered" employment. For States that do not have these systems in place, developing these relationships with State and Local agencies is encouraged. However, record sharing of Federal databases can best be coordinated on a national level rather than having each individual State contact these agencies. It is also possible for States to establish record sharing/matching agreements with agencies such as the State Corrections Department to determine whether individuals are incarcerated and should be excluded from the measures. Even though record sharing is an efficient and reliable data source, many of these agencies may only provide data annually so that it would not be available for quarterly reporting.

Computer records from automated UI wage record matching are considered valid written records and may be used in calculating performance on the earnings measures. Also, please note that supplemental data must be recorded within 30 days after the individual was found missing in the wage record.

## **Attachment D Customer Satisfaction**

(This information is refined from TEGL 6-00 regarding  
the Customer Satisfaction Performance Measures)

### **Customer Satisfaction Measures**

A. Overview of Measurement Approach. To meet the customer satisfaction measurement requirements of WIA, the Department will use customer satisfaction surveys. The survey approach that will be utilized allows State and local flexibility and, at the same time, captures common customer satisfaction information that can be aggregated and compared at a State and national level. This will be done through the use of a small set of required questions that will form a customer satisfaction index. The Department will use the American Customer Satisfaction Index (ACSI), which is created by combining scores from three specific questions that address different dimensions of customers' experience. For WIA application, there will be one score for each of the two customer groups: participants and employers.

The ACSI is the most widely used index currently in practice. It is used extensively in the business community, including at over 150 Fortune 500 companies, and in many European countries. Twenty-nine agencies of the Federal government have used the ACSI. In addition, it has been used twice in the past four years to assess customer satisfaction for ETA's Quality Initiative, the Enterprise. The ACSI will allow the workforce investment system to not only look at performance within the system, but also be able to gain perspective on the workforce system's performance by benchmarking against organizations and industries outside of the system. The ACSI also has a history of being useful in tracking change in customer satisfaction over time, making it an ideal way to gauge States' progress "toward continuously improving in performance."

Since the ACSI trademark is proprietary property of the University of Michigan and the Claes Fornell International Group (CFI), the Department has established a license agreement with the University of Michigan that will allow States the use of the ACSI for a Statewide sample of participants and employers.

It is worthwhile to note that States may use the ACSI questions and approach to measure satisfaction at the Local Board level if individual license agreements are purchased from CFI by the State and the ACSI questions and measurement approach are uniformly administered throughout the State. States using the ACSI methodology to measure Local Board performance are not required to conduct separate statewide customer satisfaction surveys to obtain State level results as long as:

- the surveys are administered by telephone,
- respondents are contacted within the window of opportunity outlined for participants and employers, at least 500 surveys are completed statewide for each group -- participants and employers,
- the surveys comply with the methodology spelled out in this guidance, and
- the Local Board results can be weighted to account for sampling differences, if appropriate, and aggregated to obtain state level outcomes.

Please refer to TEGL 6-00 for information on purchasing licenses to use the ACSI methodology to measure satisfaction at the local level. States following this guidance may aggregate local outcomes to obtain State level outcomes on the customer satisfaction measures. These aggregated results will be reported on the quarterly and annual reports.

### **B. Customer Satisfaction Measures**

## **Measure 16: Participant Satisfaction**

The weighted average of participant ratings on each of the three questions regarding overall satisfaction are reported on a 0-100 point scale. The score is a weighted average, not a percentage.

### **1. Who Will Be Surveyed?**

WIA Title I-B participants who are exiters as defined in the core measures, who are either Adults, Dislocated Workers, Older Youth (ages 19-21), or Younger Youth (ages 14-18) will be surveyed. All individuals from all funding streams in an exit cohort are eligible to be chosen for inclusion in the random sample.

### **2. How Many (number obtained)?**

Except in small States, a sample will be taken from these exiter groups in each quarter. At least 500 completed interviews are required for the participant survey for calculation of the indicator. States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews. The sampling percentage should be constant over time to avoid under-representing or over-representing time intervals. A completed participant survey is defined as a survey in which all three questions about overall satisfaction have been answered. The standard of 500 from a sample of the whole population of customers provides accuracy such that there is only a 5 in 100 chance that the results would vary by more than  $\pm 5$  points from the score obtained from surveying the whole population.

For the first year of data collection only, there is a minimum response rate of 50% for determining the usefulness of the data for performance measurement purposes. Response levels below 50% during the first year will invalidate the results for performance measurement purposes as significant bias in the results is likely. For the following years of data collection, States are expected to achieve a 70% response rate.

### **3. How (methodology)?**

The responses are obtained using a uniform telephone methodology. The rationale for only using telephone surveys includes: the comparability of the indicator for assessing performance levels is most reliably obtained with a telephone survey; telephone surveys are easily and reliably administered; and defining procedures for mailed surveys is more difficult than defining procedures for telephone surveys. Estimates of the cost of telephone surveys nationwide run an average of \$15 per completed survey. Since it is being proposed that States complete 500 participant and 500 employer surveys, the cost would be an estimated total of about \$15,000 per State per year.

As with other data collected on the receipt of services by participants, the responses to the customer satisfaction surveys must be held confidential as required by applicable State law. Before promising respondents confidentiality of results, States must ensure that they have legal authority for that promise. Such authority can be found in State privacy laws, for example.

To ensure ACSI results for individuals are collected in a consistent and uniform manner, procedures used by States to obtain participant customer satisfaction information must satisfy the following criteria:

- A. Participant customer satisfaction responses must be collected by way of telephone interviews. In-person interviews and mail questionnaires may be used only in situations where the individual does not have a telephone.
- B. Participants should be contacted as soon as possible after the date of exit and no later than 60 days after the date of an exit or 60 days after the 90 days have elapsed since the last service



date.

- C. States must complete a minimum of 500 participant surveys during the program year to accurately assess performance on the ACSI.
- D. States must randomly sample participants to obtain the desired number of completed surveys. States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews.
- E. With the exception of the first year of data collection, the response rates for participant surveys must be a minimum of 70 percent. For the first year of data collection only, there is a minimum response rate of 50% for determining the usefulness of the data for performance measurement purposes.

The response rate is calculated as the number of respondents with *complete* customer satisfaction information divided by the total number in the sampling frame. A survey is considered *complete* where valid answers are provided by respondents for each of the core questions outlined by DOL.

- F. Attempts must be made to contact all exiters in the samples to avoid introducing bias.
- G. The sampling methodology used to select potential respondents for the surveys must ensure the consistent random selection of a sample of individuals eligible for the surveys. With this in mind, no individual in the participant group eligible for the survey may be arbitrarily excluded from a sample.

It is very important that all records for eligible participants be entered in a timely fashion into the databases. The information in these databases will be used to develop lists of participants who received services that are the subject of the surveys. Participant samples must be drawn on at least a monthly basis. Also, procedures used to draw a sample must conform to accepted statistical practices, such as using a table of random numbers.

- H. Every precaution must be taken to prevent a response bias.
- I. The *core question(s)* and survey approach used by States to collect customer satisfaction information must be uniformly applied throughout the State.
- J. States must use the minimum core customer satisfaction questions specified by the Department in collecting and reporting satisfaction outcomes. These mandatory items should be located at the beginning of the questionnaire. States may include other questions about the service experience.
- K. Respondents must be told that responding to the survey is voluntary and that the information they provide will be kept confidential. However, States must not make any assurances regarding confidentiality without ensuring that they have the legal authority to make such assurances.
- L. States must create a process for creating an up-to-date customer list, capturing information on each customer's address and telephone number.

- M. Local program staff must inform the customer during the registration process about the importance of satisfying customers and the possibility of being contacted for information on his or her experience with the services. Customers must be told the survey is voluntary and that responses are considered confidential. However, States must not make any assurances regarding confidentiality without ensuring that they have the legal authority to make such assurances.
- N. The interview should be limited to 15 minutes or less. Shorter questionnaires produce better response rates when compared to longer questionnaires.
- O. A minimum of five follow-up attempts is required, involving various times of the day before closing the record.
- P. Local programs should collect alternate contact information from a person known by the customer who would know the whereabouts of the customer in the event the customer cannot be reached at the address and telephone number recorded for the customer.
- Q. A letter in advance of the survey should be sent out informing the customer that he or she can expect to receive a telephone call about his or her satisfaction with the services. States should place a phone number on the letter, suggesting that customers call if they need help or call if their home phone numbers changed.

#### **4. When to Conduct Surveys?**

The surveys should be conducted on a rolling basis within the time frame for participants indicated below. To obtain sufficient numbers, smaller States will need to survey on an ongoing basis. Participants should be contacted within 60 days of the exit date or the date that an exit date has been determined. This means either 60 days after the date of an exit interview or 60 days after the 90 days have elapsed since the last service date.

#### **5. What are the Core Questions?**

The following introductory statement and core ACSI questions are to be read to the respondent at the beginning of the interview<sup>2</sup>. The introductory script sets the context for the interview by focusing the interview on the service experience, date(s) of service, and the firm(s) or organization(s) delivering the service(s). In addition to contact information, the survey administrators will need to know the service(s) provided to each customer, the date(s) of service, and the firm(s) providing the service(s) in order to complete the interviews. The service(s) should be worded in terms recognizable to the customer.

##### *[Introductory Script]*

My name is (interviewer) with (firm or agency) and I am conducting a survey for the (program name). I would like to speak to Ms./Mr. (name of participant).

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<sup>2</sup> Note: The first question can be modified to suit the individual needs of the State and the names for program services recognizable for their population. The lead-in question provided is a model to be used as guidance.

Are you the Ms./Mr. (name of participant) who received a (name of service(s)) from the \_\_\_\_\_ on (date or date range)? [If the respondent confirms participation, proceed with the interview. If no, end the interview and thank the respondent for his or her time.]

I would like to ask you some questions about your recent experience with the services provided to you. Our purpose is to learn from you how to improve programs and services offered to people. The survey was approved by the Office of Management and Budget to collect information on your experience with services we provide to individuals. The questionnaire is voluntary and should take no longer than 15 minutes to complete.

Please know the answers you provide to my questions will be kept confidential. Do you have any questions for me before we start the interview? [If no, continue. If yes, probe to understand the questions, provide answers and restate the importance of the respondent's participation in the interview.]

*[The Questions]*

First, I want you to rate your overall experience with the services. I will read to you three statements and ask you to rate your experience.

- Utilizing a scale of 1 to 10 where "1" means "Very Dissatisfied" and "10" means "Very Satisfied" what is your overall satisfaction with the services provided from \_\_\_\_\_?

Very Dissatisfied									Very Satisfied	DK <sup>3</sup>	REF <sup>4</sup>
1	2	3	4	5	6	7	8	9	10	11	12

- Considering all of the expectations you may have had about the services, to what extent have the services met your expectations? "1" now means "Falls Short of Your Expectations" and "10" means "Exceeds Your Expectations."

Falls Short of Expectations									Exceeds Expectations	DK	REF
1	2	3	4	5	6	7	8	9	10	11	12

- Now think of the ideal program for people in your circumstances. How well do you think the services you received compare with the ideal set of services? "1" now means "Not very close to the Ideal" and "10" means "Very Close to the Ideal."

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<sup>3</sup> DK = Don't Know

<sup>4</sup> REF = Refused to Answer

Not Close To Ideal								Very Close To Ideal		DK	REF
1	2	3	4	5	6	7	8	9	10	11	12

### Measure 17: Customer Satisfaction

The weighted average of employer ratings on each of the three questions regarding overall satisfaction are reported on a 0-100 point scale. The score is a weighted average, not a percentage.

#### 1. Who Will Be Surveyed?

Those eligible for surveying include employers who have received a substantial service where the service has been completed or, if it is an ongoing service, when a full segment of service has been provided (e.g., after listing an open job order, the employer has received some referrals or if no service, 30 days have elapsed after the initial request). All employers who have received a substantial service involving personal contact with One-Stop staff are eligible to be chosen for inclusion in the random sample (this excludes those employers who request a brochure or standard mailing, those who ask a question that is answered with little expenditure of staff time, or those who use electronic self-services).<sup>5</sup> Examples of substantial services include staff facilitated job orders, customized job training, customized labor market information requests, and on-the-job training activities.

When an employer has received multiple services, priority should be given to the service that required the greatest expenditure of funds or staff time<sup>6</sup> and the survey conducted regarding their satisfaction with that service.

#### 2. How Many (number obtained)?

Except in small States, a sample will be taken from these employers. At least 500 completed interviews are required for the employer survey for calculation of the indicator. States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews. The sampling percentage should be constant over time to avoid under-representing or over-representing time intervals. A completed employer survey is defined as a survey in which all three questions regarding overall satisfaction have been answered. The standard of 500 from a sample of the whole population of customers provides accuracy such that there is only a 5 in 100 chance that the results would vary by more than  $\pm 5$  points from the score obtained from surveying the whole population.

For the first year of data collection only, there is a minimum response rate of 50% for determining the usefulness of the data for performance measurement purposes. Response levels below 50% during the first year will invalidate the results for performance measurement purposes as significant bias in the results is likely. For the following years of data collection, States are expected to achieve a 70% response rate.

#### 3. How (methodology)?

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<sup>5</sup> This standard is similar to the participant standard that distinguishes core services (information/self-service) from those services that warrant registration.

<sup>6</sup> Where an employer has received multiple services in a given time period, and there is separate contact information for each service, the contact information for the priority service should be used for surveying.

The responses are obtained using a uniform telephone methodology. The rationale for only using telephone surveys include: the comparability of the indicator for assessing performance levels is most reliably obtained with a telephone survey; telephone surveys are easily and reliably administered; and defining procedures for mailed surveys is more difficult than defining procedures for telephone surveys. Estimates of the cost of telephone surveys nationwide run an average of \$15 per completed survey. Since it is being proposed that States complete 500 participant and 500 employer surveys, the cost would be an estimated total of about \$15,000 per State per year.

As with other data collected on the receipt of services by employers, the responses to the customer satisfaction surveys must be held confidential as required by applicable State law. Before promising respondents confidentiality of results, States must ensure that they have legal authority for that promise. Such authority can be found in State privacy laws, for example.

To ensure ACSI results for individuals are collected in a consistent and uniform manner, procedures used by States to obtain employer customer satisfaction information must satisfy the following criteria:

- A. Employer customer satisfaction responses must be collected by way of telephone interviews. In-person interviews and mail questionnaires may be used only in situations where the individual does not have a telephone.
- B. Employer customers should be contacted as soon as possible after the completion of the service and no later than 60 days after the completion of the service. For employers who listed a job order where no referrals were made, contact should occur 30 to 60 days after the job order was listed.
- C. States must complete a minimum of 500 employer surveys during the program year to accurately assess performance on the ACSI.
- D. States must randomly sample employers to obtain the desired number of completed surveys. States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews.
- E. With the exception of the first year of data collection, the response rates for employer surveys must be a minimum of 70 percent. For the first year of data collection only, there is a minimum response rate of 50% for determining the usefulness of the data for performance measurement purposes.

The response rate is calculated as the number of respondents with *complete* customer satisfaction information divided by the total number in the sampling frame. A survey is considered *complete* where valid answers are provided by respondents for each of the core questions outlined by DOL.

- F. Attempts must be made to contact all eligible employers in the samples to avoid introducing bias.
- G. The sampling methodology used to select potential respondents for the surveys must ensure the consistent random selection of a sample of individuals or employers eligible for the surveys. With this in mind, no individual in the employer group eligible for the survey may be arbitrarily excluded from a sample.

It is very important that all records for eligible employers be entered in a timely fashion into the databases. The information in these databases will be used to develop lists of employers who received services that are the subject of the surveys. Employer samples must be drawn on at least a monthly basis. Also, procedures used to draw a sample must conform to accepted statistical practices, such as using a table of random numbers.

- H. Every precaution must be taken to prevent a response bias.
- I. The *core question(s)* and survey approach used by States to collect customer satisfaction information must be uniformly applied throughout the State.
- J. States must use the minimum core customer satisfaction questions specified by the Department in collecting and reporting satisfaction outcomes. These mandatory items should be located at the beginning of the questionnaire. States may include other questions about the service experience.
- K. Respondents must be told that responding to the survey is voluntary and that the information they provide will be kept confidential. However, States must not make any assurances regarding confidentiality without ensuring that they have the legal authority to make such assurances.
- L. States must create a process for creating an up-to-date customer list, capturing information on each customer's address and telephone number.
- M. Local program staff must inform the customer during the service application process about the importance of satisfying customers and the possibility of being contacted for information on his or her experience with the services. Customers must be told the survey is voluntary and that responses are considered confidential.
- N. The interview should be limited to 15 minutes or less. Shorter questionnaires produce better response rates when compared to longer questionnaires.
- O. A minimum of five follow-up attempts is required, involving various times of the day before closing the record.
- P. Local programs should collect alternate contact information from a person known by the customer who would know the whereabouts of the customer in the event the customer cannot be reached at the address and telephone number recorded for the customer.
- Q. A letter in advance of the survey should be sent out informing the customer that he or she can expect to receive a telephone call about his or her satisfaction with the services. States should place a phone number on the letter, suggesting that customers call if they need help or call if their phone numbers changed.

#### **4. When to Conduct Surveys?**

The surveys should be conducted on a rolling basis within the time frame indicated below. To obtain sufficient numbers, smaller States will need to survey on an ongoing basis. Employers should be contacted within 60 days of the completion of the service or 30-60 days after a job order has been listed where no referrals have been made.

#### **5. What are the Questions?**

The following introductory statement and core ACSI questions are to be read to the respondent at the beginning

of the interview<sup>7</sup>. The introductory script sets the context for the interview by focusing the interview on the service experience, date(s) of service, and the firm(s) or organization(s) delivering the service(s). In addition to contact information, the survey administrators will need to know the service(s) provided to each customer, the date(s) of service, and the firm(s) providing the service(s) in order to complete the interviews. The service(s) should be worded in terms recognizable to the customer.

*[Introductory Script]*

My name is (interviewer) with (firm or agency) and I am conducting a survey for the (program name). I would like to speak to Ms./Mr. (name of employer contact).

Are you the Ms./Mr. (name of contact) who received a (name of service(s)) from the \_\_\_\_\_ on (date or date range)? [IF THE RESPONDENT CONFIRMS PARTICIPATION, PROCEED WITH THE INTERVIEW. IF NO, END THE INTERVIEW AND THANK THE RESPONDENT FOR HIS OR HER TIME.]

I would like to ask you some questions about your recent experience with the services provided to your business. Our purpose is to learn from you how to improve programs and services offered to area businesses. The survey was approved by the Office of Management and Budget to collect information on your experience with services we provide to employers. The questionnaire is voluntary and should take no longer than 15 minutes to complete.

Please know the answers you provide to my questions will be kept confidential. Do you have any questions for me before we start the interview? [IF NO, CONTINUE. IF YES, PROBE TO UNDERSTAND THE QUESTIONS, PROVIDE ANSWERS AND RESTATE THE IMPORTANCE OF THE RESPONDENT'S PARTICIPATION IN THE INTERVIEW.]

*[The Questions]*

First, I want you to rate your overall experience with the services. I will read to you three statements and ask you to rate your experience.

1. Utilizing a scale of 1 to 10 where "1" means "Very Dissatisfied" and "10" means "Very Satisfied" what is your overall satisfaction with the services provided from \_\_\_\_\_?

Very Dissatisfied									Very Satisfied	DK <sup>8</sup>	REF <sup>9</sup>
1	2	3	4	5	6	7	8	9	10	11	12

---

<sup>7</sup> Note: The first question can be modified to suit the individual needs of the State and the names for program services recognizable for their population. The lead-in question provided is a model to be used as guidance.

<sup>8</sup> DK = Don't Know

<sup>9</sup> REF = Refused to Answer

2. Considering all of the expectations you may have had about the services, to what extent have the services met your expectations? “1” now means “Falls Short of Your Expectations” and “10” means “Exceeds Your Expectations.”

Falls Short of Expectations								Exceeds Expectations		DKREF	
1	2	3	4	5	6	7	8	9	10	11	12

3. Now think of the ideal program for people in your circumstances. How well do you think the services you received compare with the ideal set of services? “1” now means “Not very close to the Ideal” and “10” means “Very Close to the Ideal.”

Not Close To Ideal								Very Close To Ideal		DK	REF
1	2	3	4	5	6	7	8	9	10	11	12

### C. Definition of Terms

*Sample.* A group of cases selected from a population by a random process where everyone has an equal probability of being selected.

*Response rate.* The percentage of people in the sampling frame who are contacted and respond to the core questions on the survey.

### D. The Calculation

The ACSI scores reported for a State represent the weighted sum of the three ACSI questions’ values which are transformed into 0 to 100 scale value. The weights are applied to each of the three questions to account for differences in the characteristics of the State’s customer groups.

For example, assume the mean values of three ACSI questions for a state are:

- |                         |       |
|-------------------------|-------|
| 1. Overall Satisfaction | = 8.3 |
| 2. Met Expectations     | = 7.9 |
| 3. Compared to Ideal    | = 7.0 |

Then, these mean values from raw data must first be transformed to the value on a 0 to 100 scale. This is done by subtracting 1 from these mean values, dividing the results by 9 which is the value of range of a 1 to 10 raw data scale, and multiplying the whole by 100:

- |                         |                                   |
|-------------------------|-----------------------------------|
| 1. Overall Satisfaction | = $(8.3 - 1)/9 \times 100 = 81.1$ |
| 2. Met Expectations     | = $(7.9 - 1)/9 \times 100 = 76.7$ |
| 3. Compared to Ideal    | = $(7.0 - 1)/9 \times 100 = 66.7$ |

The ACSI score is calculated as the weighted averages of these values. Assuming the weights for the example state are 0.3804, 0.3247 and 0.2949 for questions 1, 2 and 3, respectively, the ACSI score for the state would be calculated as follows:



$$(0.3804 \times 81.1) + (0.3247 \times 76.7) + (0.2949 \times 66.7) = \mathbf{75.4}$$

Weights were calculated by a statistical algorithm to minimize measurement error or random survey noise that exists in all survey data. State-specific weights were calculated using the relative distribution of ACSI respondent data for non-regulatory Federal agencies previously collected and analyzed by CFI and the University of Michigan.

Specific weighting factors have been developed for each State for PY 2000. New weighting factors will be published annually.

## Attachment E

### Workforce Investment Act Title I-B Standardized Record Data (WIASRD)

A Brief Explanation	
Why	<p>Information about an individual and their WIA title I-B experiences is used to:</p> <ul style="list-style-type: none"><li>Share program results with consumers, taxpayers, Congress and others with an interest in the program;</li><li>Compare results among WIA title I-B service providers, States and with other federally funded programs; and</li><li>Evaluate and continuously improve services.</li></ul> <p>This information is required by WIA. It is confidential and protected by all applicable privacy rules.</p>
Who	<p>A record is developed for dislocated workers and adults served by the program except for individuals receiving only self-service or informational activities. An individual record is required for each individual served using youth funds.</p>
What	<p>Only necessary information is required. Every effort has been made to streamline and simplify the content and format. An individual's record only expands if additional resources are used to provide more costly services. A few items specifically for dislocated workers and youth are included for those records. Governors, State Boards and Local Boards may wish to add additional items to assist in the management of local or statewide initiatives or programs.</p> <p>Credit for services and outcomes provided by WIA title I-B services are reported. Services and outcomes obtained through program partners during the participation and performance outcome periods may be reported.</p>
When	<p>A record containing cumulative data must be submitted annually for individuals who exited during the program year and for individuals with additional outcome information who exited in previous program years. States are encouraged to submit records for all such exiters and previous exiters. However, States have the option of submitting a sample of records according to the sampling guidelines in Appendix A. Although the data are submitted annually, individual records will need to be updated more frequently as the data will be used to prepare quarterly reports in addition to the Annual Report.</p>

How	<p>The record is divided into three main sections:</p> <ul style="list-style-type: none"> <li>❶ Individual Information (100 series);</li> <li>❷ Activities and Services (300 series); and</li> <li>Outcomes (or results) (600 series).</li> </ul> <p>At this time, unused numbers in the 200, 400, 500, 700, 800 and 900 series aren't reserved and States and local areas may use these numbers for their own purposes. Later on, ETA offices may use these item numbers if additional reporting items are added. Each section begins with items needed for all participants at the top of the section, followed by information for individuals receiving additional services (such as intensive and training services). Finally, any items needed just for dislocated workers or youth appear at the end of each section.</p> <p>An applicability guide to show which items are required by groups described in WIA accompanies each item. Please see short notes on grouping codes on the following page. A definition of the item and frequently asked questions appear on the same line. Programmers will also find a field size/type marker in the item box.</p> <p>Technical instructions for preparing and submitting the record are contained in Appendix A.</p>
-----	---

Note Regarding Required Items by Groups	
■ = Data item required for the column group.	
Data collection requirements for adults and dislocated workers are based on the type of services received:	C = Core services other than informational or self-service, only.
	I = Intensive Services
	T = Training Services
Data collection requirements for youth are based on age at registration:	14 to 18
	19 to 21

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#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
	<b>SECTION 1 - INDIVIDUAL INFORMATION</b>							
101	Individual identifier XXXXXXXXXX	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<p>The State will develop a process for assigning an identification number to each person. This identification number may be an encrypted Social Security number or another identification number developed by the State. This identification number for a person should be the same for every period of participation and in every local area and statewide program in the State.</p> <p>The ID number may include both numeric and alphabetic characters.</p>
102	Date of birth YYYYMMDD	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
103	Gender 1 = Male 2 = Female	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
104	Individual with a disability 1 = Yes 2 = Yes and disability results in a substantial impediment to employment 3 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<p>An individual with a disability means an individual with any disability as defined in section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102).</p> <p>Record 1 for any individual who has a physical or mental impairment which substantially limits one or more of such person's major life activities, or has a record of such an impairment, or is regarded as having such an impairment.</p> <p>Record 2 if the individual has a physical or mental impairment which for such individual constitutes or results in a substantial impediment to employment.</p>
105	Ethnicity Hispanic or Latino 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<p>A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race.</p> <p>NOTE: Ethnicity information (Hispanic, other) is collected separately from race information. Individuals who indicate that they are Hispanic or Latino should also have the opportunity to select one or more racial categories.</p> <p>NOTE: Information on ethnicity should be collected before information on race.</p> <p><i>What if an individual refuses to select an ethnicity category?</i> Missing data will be accepted as long as data are missing for only a small proportion of participants.</p>

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
	<b>Race</b> Separate items for each of the following categories							<p><i>What if an individual is multi-racial?</i></p> <p>When self-reported information is used, individuals shall be offered the option of selecting one or more racial designations. Recommended forms for the instruction accompanying the multiple response question are “mark one or more” and “Select one or more.”</p> <p><i>What if an individual refuses to select a racial category?</i></p> <p>Missing data will be accepted as long as data are missing for only a small proportion of participants.</p>
106	<i>American Indian or Alaska Native</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	A person having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition.
107	<i>Asian</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e.g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.
108	<i>Black or African American</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	A person having origins in any of the black racial groups of Africa.
109	<i>Hawaiian Native or other Pacific Islander</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
110	<i>White</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	A person having origins in any of the of the original peoples of Europe, the Middle East, or North Africa.
111	<i>Veteran status</i> 1 = Yes ≤ 180 days 2 = Yes > 180 days 3 = No	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<p>Record 1 if the individual is a person who served in the active U.S. military, naval, or air service for a period less than or equal to 180 days, and who was discharged or released from such service under conditions other than dishonorable.</p> <p>Record 2 if the individual met the conditions described above for more than 180 days.</p>

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
112	<i>Campaign veteran</i> 1 = Yes 2 = Yes, Vietnam-era veteran 3 = No	■	■	■	■		■	<p>Record 1 if the individual is a veteran who served on active duty in the U.S. armed forces during a war or in a campaign or expedition for which a campaign badge or expeditionary medal has been authorized as identified and listed by the Office of Personnel Management (OPM). Please see Appendix B for the current list as of 01/07/2000. For campaigns occurring after this date, updated information may be obtained on the OPM web site: <a href="http://www.opm.gov/veterans/html/vgmedal2.htm">http://www.opm.gov/veterans/html/vgmedal2.htm</a>.</p> <p>Record 2 if the individual served in the active U.S. military, naval, or air service, and who was discharged or released from such service under conditions other than dishonorable during the Vietnam-era (the period beginning on February 28, 1961 and ending on May 7, 1975, in the case of a veteran who served in the Republic of Vietnam during that period, and the period beginning on August 5, 1964 and ending on May 7, 1975, in all other cases).</p> <p>Note: If both codes 1 and 2 apply, record 2 for Vietnam-Era Veteran.</p>
113	<i>Disabled veteran</i> 1 = Yes 2 = Yes, special disabled 3 = No	■	■	■	■		■	<p>Record 1 if the individual is a veteran who is entitled to compensation regardless of rate (include those rated at 0%) for a disability under laws administered by the Department of Veterans' Affairs (DVA), or who was discharged or released from active duty because of a service-connected disability.</p> <p>Record 2 if the individual is rated at 30% or more by the DVA, or at 10 or 20 percent for a serious employment disability.</p>
114	<i>Recently separated veteran</i> 1 = Yes 2 = No	■	■	■	■		■	<p>A veteran who applied for participation under WIA title I within 12 months after discharge or release from active U.S. military, naval, or air service.</p>

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
115	<i>Employment status at registration</i> 1 = Employed 2 = Not employed	■	■	■	■	■	■	<p>Employed. An employed individual is currently working as a paid employee or who works in his or her own businesses or profession or on his or her own farm, or works 15 hours or more per week as an unpaid worker on a farm or in an enterprise operated by a member of the family, or is one who is not working, but has a job or business from which he or she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time-off, and whether or not seeking another job.</p> <p>Not employed. An individual who does not meet the definition of employed or who, although employed, has received notice of termination of employment.</p> <p>NOTE: This item is used to calculate some of the core indicators of performance for adults and older youth.</p> <p>NOTE: This information is to be collected from the registrant at registration, not from wage records.</p>
116	<i>Limited English language proficiency</i> 1 = Yes 2 = No		■		■	■	■	<p>An individual who has limited ability in speaking, reading, writing or understanding the English language and (a) whose native language is a language other than English or (b) who lives in a family or community environment where a language other than English is the dominant language.</p>
117	<i>Single parent</i> 1 = Yes 2 = No		■		■	■	■	<p>A single, separated, divorced or widowed individual who has primary responsibility for one or more dependent children under age 18.</p>



#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
118	<i>Unemployment compensation programs (U.C.)</i> 1 = Eligible claimant referred by WPRS 2 = Eligible claimant not referred by WPRS 3 = Exhaustee 4 = Neither claimant nor exhaustee		<input type="radio"/>		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<p>Authorized under State unemployment compensation laws (in accordance with applicable Federal law).</p> <p>Record 1 if the individual is an eligible U.C. claimant referred by the Worker Profiling and Reemployment Services (WPRS) system.</p> <p>Record 2 if the individual is an eligible U.C. claimant but was not referred by WPRS.</p> <p>Record 3 if the individual exhausted their U.C. benefits.</p> <p>Record 4 if the individual was neither an U.C. claimant nor an exhaustee.</p> <p>An eligible U.C. claimant is an individual who has been determined to be monetarily eligible for benefit payments under one or more State or Federal unemployment compensation programs and whose benefit year or compensation, by reason of an extended duration period, has not ended and who has not exhausted his/her benefit rights.</p>

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
119	<p><i>Low income</i></p> <p>1 = Yes</p> <p>2 = No</p>		<input type="radio"/>			<input type="radio"/>	<input type="radio"/>	<p>A registrant in one or more of the following categories (WIA section 101(25)):</p> <p>(A) receives, or is a member of a family which receives, cash payments under a Federal, State or local income-based public assistance program;</p> <p>(B) received an income, or is a member of a family that received a total family income, for the six-month period prior to registration for the program involved (exclusive of unemployment compensation, child support payments, payments described in subparagraph (A) and old-age and survivors insurance benefits received under section 202 of the Social Security Act (42 U.S.C. 402)) that, in relation to family size does not exceed the higher of:</p> <p>(I) the poverty line, for an equivalent period; or</p> <p>(II) 70 percent of the lower living standard income level, for an equivalent period;</p> <p>(C) is a member of a household that receives (or has been determined within the 6-month period prior to registration for the program involved to be eligible to receive) Food Stamps under the Food Stamp Act of 1977(7 U.S.C. 2011 et seq.);</p> <p>(D) qualifies as a homeless individual, as defined in subsections (a) and (c) of section 103 of the Stewart B. McKinney Homeless Assistance Act (42 U.S.C. 11302); or</p> <p>(E) is a foster child on behalf of whom State or local government payments are made.</p> <p><i>May an individual with a disability whose family does not meet income eligibility criteria under the Act be eligible for priority as a low income adult?</i></p> <p>Yes. Even if the family of an individual with a disability does not meet the income eligibility criteria, the individual with a disability is to be considered a low-income individual if the individual's own income:</p> <p>(1) Meets the income criteria established in WIA section 101(25)(A) or (B); but is a member of a family whose income does not meet those requirements. [WIA sec. 101(25)(F).]</p>

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
	<b>Public assistance recipient:</b> Separate items for each of the following two categories							Record 1 for Yes if the participant is listed on the grant and/or is receiving assistance under any of the following programs at any time during participation. While this information may be updated during participation, such updating is not required. Self-reported information will be acceptable for reporting. <b>Do not include foster child payments.</b> NOTE: Record 1 for Yes for <b>every</b> public assistance program from which the individual is receiving assistance.
120	<i>Temporary Assistance to Needy Families (TANF)</i> 1 = Yes 2 = No		<input type="radio"/>			<input type="radio"/>	<input type="radio"/>	Also include participants who were referred by the TANF agency, participated in the TANF assessment program as a requirement prior to opening a TANF grant, and who received support services from the TANF agency.
121	<i>General Assistance (GA) (State/local government), Refugee Cash Assistance (RCA), Supplemental Security Income (SSI-SSA title XVI)</i> 1 = Yes 2 = No		<input type="radio"/>			<input type="radio"/>	<input type="radio"/>	Record 1 for Yes if the participant receives cash assistance from one or more of these sources.
122	<i>Pell Grant recipient</i> 1 = Yes 2 = No		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The individual is or has been notified s/he will be receiving a Pell Grant.  NOTE: This item may be updated at any time while the individual is receiving WIA services (except follow-up services). Record yes if the individual received a Pell grant at any time during WIA participation.  NOTE: Section 663.310 of the WIA Final Rule (title 65 FR 49404 - 49405, August 11, 2000) describes which adults and dislocated workers may receive WIA-funded services. Those who are unable to obtain grants assistance from other sources, including Pell grants are discussed in paragraph (d) of section 663.310. Section 663.320 of the same document lists the requirements for coordination of WIA funds with Pell Grants.  NOTE: The receipt of a Pell grant may not disqualify a participant from eligibility for WIA-funded training, if the Pell Grant recipient chooses to use the grant for experiences other than tuition.

#	Item	Required Items by Group						Definitions	
		Adult		Dislocated Worker		Youth		Questions and Answers	
		C	I T	C	I T	14 - 18	19 - 21		
123	<p><i>Highest school grade completed</i></p> <p>00 = No school grade completed</p> <p>01-11 = Number of elementary/ secondary school grades completed</p> <p>12 = High school graduate</p> <p>88 = Attained certificate of equivalency for a high school degree (e.g., GED)</p> <p>13-15 = Number of school years completed.</p> <p>16 = Bachelor's degree or equivalent</p> <p>17 = Education beyond the Bachelor's degree</p>		■		■	○	■	<p>Codes 13 to 15 include college, or full-time technical or vocational school. Codes 13 to 15 should not be used for individuals who are not high school graduates unless they attained a college degree.</p> <p><i>How should individuals who completed 12th grade but did not receive a diploma or equivalent be coded?</i></p> <p>These individuals should be coded "11" to indicate that they did not receive a diploma or equivalent.</p> <p><i>How should Certificates of Completion or Individual Education Program (IEP) Diplomas be reported?</i></p> <p>Participants with a disability who successfully completed an Individual Education Program (IEP) for youth with disabilities are to be coded as "12".</p>	
	<b>Additional Individual Information Needed For Dislocated Workers and Displaced Homemakers</b>							Items 124 and 125 are to be completed for dislocated workers and displaced homemakers only.	
124	<p><i>Displaced homemaker</i></p> <p>1 = Yes</p> <p>2 = No</p>			■	■			<p>An individual who has been providing unpaid services to family members in the home and who-</p> <p>(1) has been dependent on the income of another family member but is no longer supported by that income; and</p> <p>(2) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.</p>	

#	Item	Required Items by Group						Definitions	
		Adult		Dislocated Worker		Youth		Questions and Answers	
		C	I T	C	I T	14 - 18	19 - 21		
125	<i>Date of actual qualifying dislocation</i> YYYYMMDD			■	■			<p>The last day of employment at the dislocation job. If there is no dislocation job (e.g., displaced homemakers), leave blank.</p> <p><i>How should dislocated workers who are still employed at registration be reported?</i></p> <p>Leave blank until qualifying dislocation takes place and then record the actual dislocation date.</p> <p>NOTE: When determining preprogram quarters for performance measurement, the registration date will be used instead of the dislocation date when the dislocation date is missing or occurs after the registration date.</p>	
	<b>Additional Individual Information Needed For Youth</b>							Items 126 to 131 are for individuals served by the youth program.	
126	<i>Homeless individual and/or a runaway youth</i> 1 = Yes 2 = No					■	■	<p>An individual who lacks a fixed, regular, adequate night time residence; and any individual who has a primary night time residence that is a publicly or privately operated shelter for temporary accommodation; an institution providing temporary residence for individuals intended to be institutionalized; or a public or private place not designated for or ordinarily used as a regular sleeping accommodation for human beings. Also includes a runaway youth.</p> <p>NOTE: Does not include a person imprisoned or detained under an Act of Congress or State law.</p>	
127	<i>Offender</i> 1 = Yes 2 = No					■	■	<p>An individual:</p> <p>(1) who is or has been subject to any stage of the criminal justice process, for whom services under WIA may be beneficial; or</p> <p>(2) who requires assistance in overcoming artificial barriers to employment resulting from a record of arrest or conviction.</p>	
128	<i>Pregnant or parenting youth</i> 1 = Yes 2 = No					■	■	An individual who is under 22 years of age and who is pregnant, or a youth (male or female) who is providing custodial care for one or more dependents under age 18.	
129	<i>Youth who needs additional assistance</i> 1 = Yes 2 = No					■	■	A youth, aged 14-21, who requires additional assistance to complete an educational program, or to secure and hold employment as defined by State or local policy. If the State Board defines a policy, the policy must be included in the State Plan.	

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
130	<i>Education status at time of registration</i> 1 = Student, H.S. or less 2 = Student, attending post-H.S. 3 = Not attending school; H.S. dropout 4 = Not attending school; H.S. graduate					■	■	1. The individual has not received a secondary school diploma or its recognized equivalent and is attending any school (including elementary, intermediate, junior high school, secondary or postsecondary, or alternative school or program whether full or part-time), or is between school terms and intends to return to school. 2. The individual has received a secondary school diploma or its recognized equivalent and is attending a postsecondary school or program (whether full or part-time), or is between school terms and intends to return to school. 3. The individual is no longer attending any school and has not received a secondary school diploma or its recognized equivalent. 4. The individual is not attending any school and has either graduated from high school or holds a GED.
131	<i>Basic literacy skills deficiency (as defined in §664.205)</i> 1 = Yes 2 = No					■	■	The individual meets the State or local level definition of basic literacy skills deficient. This definition may establish such criteria as are needed to address State or local concerns, and must include a determination that an individual: (1) Computes or solves problems, reads, writes, or speaks English at or below the 8th grade level on a generally accepted standardized test or a comparable score on a criterion-referenced test; or (2) Is unable to compute or solve problems, read, write, or speak English at a level necessary to function on the job, in the individual's family or in society.  In cases where the State Board establishes State policy on this criterion, the policy must be included in the State plan. (WIA sections 101(13)(C)(i), 101(19) and section 112(b)(18)(A))  Note: Grade level scores below 9.0 (e.g., 8.9) should be considered as at or below the 8 <sup>th</sup> grade level.

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
	<b>SECTION II - ACTIVITY AND SERVICES INFORMATION</b>							Items 302, 303, and 333 are used to calculate performance on WIA core indicators.
301	ETA-assigned Local Board/Statewide code 00000	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<p>Example for State with FIPS code 36 (New York):            For federal funds sent to States for use at the local area:              Adults - 36005, 36010, 36015, etc.              Youth - 36005, 36010, 36015, etc.              Dislocated Workers - 36005, 36010, 36015, etc.</p> <p>For federal funds sent to States for statewide (15%) activities:              Statewide activities (Youth, displaced homemakers, incumbent workers, other) - 36903              Rapid Response (including additional assistance) - 36902              National Emergency Grant - 36901</p> <p>NOTE: If the individual was served by the local area and also by other non-local funds (e.g., statewide funds or a national emergency grant), record the code for the Local Board and not one of the special codes specified above.</p> <p>NOTE: If the individual was jointly served by two or more local areas, record the code for the local area in which the individual resides. This instruction is not intended to determine how the state measures performance for these local areas.</p> <p><i>Will ETA use the same codes for WIA as were used for JTPA?</i></p> <p>A Local Board code will be the same as the JTPA SDA code if there is no change in the geographic area.</p>

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
302	Date of WIA title I-B registration YYYYMMDD	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<p><i>When must the individual be registered?</i> Registration is the process for collecting information to support a determination of eligibility. This information may be collected through methods that include electronic data transfer, personal interview, or an individual's application. Adults and dislocated workers who receive services funded under title I other than self-service or informational activities must be registered and determined eligible. (20 CFR 663.105(a) and (b), 65 FR49403, August 11, 2000)</p> <p>All youth participants must be registered. Thus, youth must be registered when they start to receive any youth services. (20CFR 664.215, 65 FR 49412, August 11, 2000)</p> <p><i>What date should be recorded as the registration date?</i> The registration date should be the date of the first WIA title I-B service (other than informational or self-service activities for adults and dislocated workers).</p> <p><i>Which adult and dislocated worker core services are informational or self-service and, thus, do not require registration?</i> Self-service and informational activities are those core services that are made available and accessible to the general public, that are designed to inform and educate individuals about the labor market and their employment strengths, weaknesses, and the range of services appropriate to their situation, and that do not require significant staff involvement with the individual.</p> <p><i>What are examples of core services that would require registration?</i> Core services requiring registration include:  S Staff-assisted job search and placement assistance, including career counseling;  S Staff-assisted job referrals (such as testing and background checks);  S Staff-assisted job development (working with employer and job-seeker); and  S Staff-assisted workshops and job clubs.</p> <p>See Appendix C for additional guidance in categorizing services.</p>



#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
303	Date of WIA exit YYYYMMDD	■	■	■	■	■	■	<p>The last date on which WIA title I or partner services, excluding follow-up services, were received by the individual. There are two ways to determine exit:</p> <ol style="list-style-type: none"> <li>1. a participant who has a date of case closure, completion or known exit from WIA-funded or non-WIA funded partner services within the quarter (hard exit); or</li> <li>2. a participant who does not receive any WIA-funded or non-WIA funded partner services for 90 days and is not scheduled for future services except follow-up services (soft exit).</li> </ol> <p>Participants who have a planned gap in service of greater than 90 days should not be considered as exited if the gap in service is due to a delay before the beginning of training or a health/medical condition that prevents an individual from participating in services. Service providers should document any gap in service that occurs and indicate the reason for the gap in service. Participants who exit from services because they are incarcerated, deceased or have a health/medical condition that prevents the individual from participating in services, should be excluded from the measures. Once a participant has not received any WIA-funded or partner-funded services, except follow-up services, for 90 days, and there is no planned gap in service or the planned gap in service is for reasons other than those specified above, that participant has exited WIA for the purposes of measurement in 15 of the 17 core measures (the younger youth skill attainment rate and employer customer satisfaction measures are not based on exit).</p> <p><i>How should gaps in service be documented?</i></p> <p>State and local programs should document any gap over 90 days and indicate the reason for the gap in service.</p> <p><i>May an individual be exited when WIA title I-B services are over, but partner services continue?</i></p> <p>Receipt of partner services called for in the WIA service plan can extend the exit date, which triggers measurement of outcomes. However, the person should exit from WIA when the services in the WIA service plan are finished, even if other partner services continue. Thus, a 'hard' exit may be recorded whenever the service plan is finished.</p>

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		
		C	I T	C	I T	14 - 18	19 - 21	Questions and Answers
	<b>WIA title I-B Participation</b>							Items 304-313 are used to identify individuals served by one or more of the WIA title I-B funds.
304	<i>Adult (Local)</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>					Services to adults provided by funds allocated to local areas under WIA section 133(b)(2)(A)
305	<i>Dislocated Worker (Local)</i> 1 = Yes 2 = No			<input type="radio"/>	<input type="radio"/>			Services to dislocated workers provided by funds allocated to local areas under WIA section 133(b)(2)(B)
306	<i>Youth (Local)</i> 1 = Yes 2 = No					<input type="radio"/>	<input type="radio"/>	Services to youth provided by funds allocated to local areas under WIA section 128(b).
307	<i>Youth [Statewide (15%) Activities]</i> 1 = Yes 2 = No					<input type="radio"/>	<input type="radio"/>	WIA section 134(a) NOTE: This item need not be recorded as 'yes' if the individual is served by a local area with statewide funds passed down from the state to the local area.
308	<i>Displaced Homemaker [Statewide (15%) Activities]</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>				<input type="radio"/>	WIA section 134(a)(3)((A)(vi)(I) NOTE: This item need not be recorded as 'yes' if the individual is served by a local area with statewide funds passed down from the state to the local area.
309	<i>Incumbent Worker [Statewide (15%) Activities]</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	WIA section 134(a)(3)((A)(iv)(I) NOTE: This item need not be recorded as 'yes' if the individual is served by a local area with statewide funds passed down from the state to the local area. NOTE: Individuals served only with these funds should not be reported.
310	<i>Other [Statewide (15%) Activities]</i> 1 = Yes 2 = No	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Record yes if activities (i.e., adult or dislocated worker activities) funded with State 15% reserve funds are provided to individuals eligible for WIA title I-B services, except for youth activities, displaced homemaker activities and incumbent worker activities. (WIA section 134(a)(3)(A)(viii)) NOTE: This item need not be recorded as 'yes' if the individual is served by a local area with statewide funds passed down from the state to the local area.
311	<i>Rapid Response</i> 1 = Yes			<input type="radio"/>	<input type="radio"/>			An individual who participated in rapid response activities authorized at WIA section 134(a)(2)(A)(i). These activities could occur prior to or subsequent to registration.
312	<i>Rapid Response - Additional Assistance</i> 1 = Yes 2 = No			<input type="radio"/>	<input type="radio"/>			An individual who participated in a program funded by the State under WIA section 134(a)(2)(A)(ii). Note: This item need not be recorded as 'yes' if the individual is served by a local area with funds passed down from the State to the local area.

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
313a	<i>National Emergency Grant</i> 0000 = Project I.D. Number (see special instructions for recording individuals served by more than one National Emergency Grants and/or National Reserve Account Grants)			<input type="radio"/>	<input type="radio"/>			<p>WIA title I-D, section173</p> <p>Record the four digits of the original Project I.D. Number assigned to the National Emergency Grant. (For example, an Utah projects may be numbered UT-02, so the WIASRD entry would be UT02.) Leave blank if none of the individual's services were participated in services provided by a National Emergency Grant.</p> <p><i>What if additional Project I.D. Numbers are assigned to the same project?</i> Continue to use the project's original Project I.D. Number.</p>
313b	<i>Second National Emergency Grant</i> 0000 = Project I.D. Number							<p><i>What if an individual is coenrolled in two or more National Emergency Grants?</i> Record the Project I.D. Number for the first grant in which the individual participated in Item 312a. Then record the Project I.D. Number for the second grant in which the individual participated in Item 312b. Then record the Project I.D. Number for the third grant in which the individual participated in Item 312c. If the individual participated in more than three grants, record only the first three grants. Only one WIASRD record should submitted.</p> <p><i>What if an individual participated in one or more JTPA National Reserve Account (NRA) Grant?</i> Record the 4-digit Grant Number which is made up of the last four digits of the original Notice of Obligation (NOO) Number assigned to the project (e.g., if the NOO number is 41-95-02, the WIASRD entry is 9502). If additional NOO Numbers are assigned to the same project due to increasing the funds for the project, participants should continue to be enrolled in the project's original NOO number. Only one WIASRD record should be submitted.</p>
313 c	<i>Third National Emergency Grant</i> 0000 = Project I.D. Number							<p><i>What if an individual participated in both NRA and NEG grants?</i> Record up to three NRA and NEG numbers using the conventions described above. Only one WIASRD record should be submitted.</p>

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
	WIA Partner Program Participation							<p>The WIASRD is designed to provide States and local areas the opportunity to track and report on services that WIA title I-B participants receive from partner programs. While tracking and reporting services is optional, it can be advantageous because receipt of tracked partner services can be used to avoid 'soft' exits under WIA title I-B.</p> <p>For example, an individual might be registered for WIA title I-B and receive some services and go on to receive adult literacy services from WIA title II. If WIA title II services are not tracked, the exit date occurs when WIA title I-B services are finished. If WIA title II services are tracked and reported, then (1) the individual is defined as an exiter from WIA title I-B if there are neither WIA title I-B nor WIA title II services for 90 days and (2) the exit date is the last date on which either WIA title I-B services or WIA title II services were received.</p> <p><i>What partner services may be tracked and reported?</i> Record only those programs that fund activities coordinated with the individual's WIA title I-B activities, possibly through a formal coenrollment, by inclusion in the individual's WIA service plan or through follow-up services. Do not report partner services that the individual obtains on his/her own or that are not coordinated with the individual's WIA title I-B activities.</p> <p><i>Can all partner services be used to extend the exit date?</i> The only partner services that can extend the exit date are those services that would extend the exit date if they were funded by WIA title I-B. These include services that would qualify under WIA as core services (other than informational or self-service), intensive services, training services, or youth activities (except for follow-up services). They also include similar employment and training activities, such as Adult Literacy Training. They do not include services that provide income support (e.g., Food Stamps, TANF grants, Unemployment Compensation). Services should be recorded cumulatively. A yes should be recorded for each source of service. Partner services received before WIA registration may be reported if known. Do not report sources that funded only core services classified as informational or self-service. NOTE: When partner services are tracked and reported, receipt of partner services can be counted just like WIA services when determining the exit date.</p>
314	Adult Education							WIA title II

#	Item	Required Items by Group						Definitions
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	1 = Yes							Leave blank if the answer is 'no' or the answer is not known.
315	Job Corps 1 = Yes							WIA title I-C Leave blank if the answer is 'no' or the answer is not known.
316	Migrant & Seasonal Farmworker Programs 1 = Yes							WIA title I-D, section 167 Leave blank if the answer is 'no' or the answer is not known.
317	Native American Programs 1 = Yes							WIA title I-D, section 166 Leave blank if the answer is 'no' or the answer is not known.
318	Veterans' Programs 1 = Yes, labor exchange 2 = Yes, VWIP							1. Services provided by DVOP/LVER (WIA section 121(b)(1)(B)(ix)) 2. Provided training services under WIA section 168 Leave blank if the answer is 'no' or the answer is not known.
319	Trade Adjustment Act (TAA) 1 = Yes							Services funded by the Trade Adjustment Act (WIA section 121(b)(1)(B)(viii)) Leave blank if the answer is 'no' or the answer is not known.
320	NAFTA-TAA 1 = Yes							Services funded by NAFTA-TAA (WIA section 121(b)(1)(B)(viii)) Leave blank if the answer is 'no' or the answer is not known.
321	Vocational Education 1 = Yes							Services funded by Carl D. Perkins Vocational and Applied Technology Education Act (20 U.S.C. 2471) (WIA section 121(b)(1)(B)(vii)) Leave blank if the answer is 'no' or the answer is not known.
322	Vocational Rehabilitation 1 = Yes							Programs authorized under parts A and B of title I of the Rehabilitation Act of 1973 (29 USC 720 et seq.), WIA title IV, and section 121(b)(1)(B)(iv) Leave blank if the answer is 'no' or the answer is not known.
323	Wagner-Peyser Act 1 = Yes							Services funded under the Wagner-Peyser Act (29 USC 49 et seq.) WIA section 121 (b)(1)(B)(ii) Leave blank if the answer is 'no' or the answer is not known.
324	Welfare-to-Work Participant 1 = Yes							As described in 20 CFR Part 645 (WIA section 121(b)(1)(B)(v)) Leave blank if the answer is 'no' or the answer is not known.
325	Employment and Training programs carried out under The Community Services Block Grant Act 1 = Yes							42 U.S.C. 9001 et seq. (WIA section 121(b)(1)(x)) Leave blank if the answer is 'no' or the answer is not known.
326	Employment and Training programs carried out by The Dept. of Housing and Urban Development 1 = Yes							Any employment and training services funded by the Department of Housing and Urban Development (WIA section 121(b)(1)(B)(xi)) Leave blank if the answer is 'no' or the answer is not known.
327	Title V activities 1 = Yes							Title V of the Older Americans Act of 1965 (42 U.S.C. 3056 et seq.) (WIA section 121 (b)(1)(B)(vi))

#	Item	Required Items by Group						Definitions
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								Leave blank if the answer is 'no' or the answer is not known.
328	Employment and training services related to Food Stamps 1 = Yes							Record 'yes' if the individual receives employment and training services from the Food Stamps program or was referred by the Food Stamps program to WIA for employment and training services. (WIA section 121(b)(2)(B)(iii)) Leave blank if the answer is 'no' or the answer is not known. NOTE: This item is not intended to record receipt of Food Stamps.
329	Other non-WIA programs 1 = Yes							Any non-WIA program not listed above that provided the individual with services authorized under WIA. Record only those programs that fund activities coordinated with the individual's WIA title I activities, possibly through a formal coenrollment, by inclusion in the individual's WIA service plan, or through follow-up services. Leave blank if the answer is 'no' or the answer is not known.
330	Supportive services (except needs-related payments) received 1 = Yes 2 = No	■	■	■	■	■	■	This item only applies to individuals who received WIA title I-B-funded supportive services. (WIA sections 101(46) and 134(e)(2))  For adults and dislocated workers, supportive services include services such as transportation, child care, dependent care, and housing that are necessary to enable an individual to participate in activities authorized under WIA title I, consistent with the provisions of WIA title I. Needs-related payments, although categorized by the Act as supportive services, should not be reported in this item because they are reported separately.  Supportive services for youth, as defined in WIA section 101(46), may include linkages to community services; assistance with transportation; assistance with child care and dependent care; assistance with housing; referrals to medical services; and assistance with uniforms or other appropriate work attire and work-related tools, including such items as eye glasses and protective eye gear. (20CFR 664.440, 65 FR 49413, August 11, 2000)
331	Needs-related payments (Adults/Dislocated Workers in training services) or stipends (Youth in training) 1 = Yes 2 = No		■		■	■	■	This item only applies to individuals who received WIA title I-B-funded needs related payments.

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		
		C	I T	C	I T	14 - 18	19 - 21	Questions and Answers
	<b>Items for Adults and Dislocated Workers Receiving Intensive and Training Services</b>							All appropriate WIA title I-B services should be recorded below. When receipt of partner services is recorded above, the appropriate activity below should also be checked. Partner services received before WIA registration may be recorded if known. Thus, the dates of the first intensive and training service may be before the registration date.
332	<i>Date of first intensive service</i> YYYYMMDD		■		■			The date the individual began receiving intensive services. Leave blank if the individual did not receive intensive services.
333	<i>Date of first training service</i> YYYYMMDD		■		■			The date the individual began receiving training services. Leave blank if the individual did not receive training services.
334	<i>Established Individual Training Account (ITA)</i> 1 = Yes 2 = No		■		■			Record yes if any of the individual's services were purchased utilizing an Individual Training Account established for adults or dislocated workers and funded by WIA title I.
335	<i>Adult education, basic skills and/or literacy activities</i> 1 = Yes 2 = No		■		■			Record yes if the individual received adult education, basic skills and/or literacy skills.  NOTE: WIA section 134(d)(4)(D)(vii) stipulates that adult education and literacy activities be provided in combination with other training services, except that customized training is not a qualifying training activity to receive these services.
336	<i>On-the-job training</i> 1 = Yes 2 = No		■		■			Training by an employer that is provided to a paid participant while engaged in productive work in a job that: (A) provides knowledge or skills essential to the full and adequate performance of the job; (B) provides reimbursement to the employer of up to 50 percent of the wage rate of the participant, for the extraordinary costs of providing the training and additional supervision related to the training; and (C) is limited to the period of time required for a participant to become proficient in the occupation for which the training is being provided. In determining the appropriate length of the contract, consideration should be given to the skill requirements of the occupation, the academic and occupational skill level of the participant, prior work experience, and the participant's individual employment plan. (WIA sections 101(31), 20 CFR 663.700(a) and (c), 65 FR49409, August 11, 2000)



#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		
		C	I T	C	I T	14 - 18	19 - 21	Questions and Answers
337	Occupational skills training or skills upgrading/retraining, and/or workplace training 1 = Yes 2 = No		■		■			Include the receipt of the following types of services in this category: S Occupational skills training, including training for nontraditional employment; S Programs that combine workplace training with related instruction, which may include cooperative education programs; S Training programs operated by the private sector; S Skill upgrading and retraining; S Entrepreneurial training; S Job readiness training; and S Customized training conducted with a commitment by an employer or group of employers to employ an individual upon successful completion of the training.
	<b>Items for Adults, Dislocated Workers, and Youth</b>							
338	Occupational skills training code 000000000		■		■		■	The 6 digit Standard Occupational Classification (SOC) code, 8 digit O*Net 3.0 Code, 9-digit DOT code, the 5-digit OES code, or the 5 or 6-digit O*NET code that best describes the training occupation for adults and dislocated workers who received on-the-job training or occupational skills training and youth who received employment services related to a specific occupation. If the participant received classroom occupational skills training, any of these or the 6-digit CIP code that best describes the training should be recorded. If training was provided for more than one occupation, record the code for the last significant occupational training. Note: Occupation codes should be recorded without including hyphens or periods. The occupation code should be reported for individuals receiving occupational skills training, on-the-job training, or youth employment services, if appropriate. If no specific occupational skills training was received, record 999999999.
339	Occupational skills training code type 1 = 6 digit SOC code 2 = 8 digit O*Net 3.0 Code 3 = 6-digit CIP code(classroom training only) 4 = 9-digit DOT code 5 = 5-digit OES code 6 = 5 or 6-digit O*Net98 code 0 = None		■		■		■	The type of code used to report item 338.  NOTE: The use of SOC, O*NET 3.0, or CIP codes is encouraged as the DOT and OES code systems will be phased out.
	<b>Youth Services</b>							



#	Item	Required Items by Group						Definitions	
		Adult		Dislocated Worker		Youth		Questions and Answers	
		C	I T	C	I T	14 - 18	19 - 21		
340	<i>Educational achievement services</i> 1 = Yes 2 = No					■	■	Educational achievement services include, but are not limited to: S Tutoring, study skills training, and instruction leading to secondary school completion, including dropout prevention strategies; and S Alternative secondary school offerings.	
341	<i>Employment services</i> 1 = Yes 2 = No					■	■	Preparation for and success in employment services include, but are not limited to: S Paid and unpaid work experiences, including internships, and job shadowing; and S Occupational skill training.	
342	<i>Received summer youth employment opportunities</i> 1 = Yes 2 = No					■	■	Record yes for youth who received summer employment opportunities.	
343	<i>Additional support for youth services</i> 1 = Yes 2 = No					■	■	Supports for youth services include, but are not limited to: S Adult mentoring for a duration of at least twelve (12) months, that may occur both during and after program participation; S Comprehensive guidance and counseling, including drug and alcohol abuse counseling, as well as referrals to counseling, as appropriate to the needs of the individual youth.	
344	<i>Leadership development opportunities</i> 1 = Yes 2 = No					■	■	Leadership development opportunities are opportunities that encourage responsibility, employability, and other positive social behaviors such as: (a) Exposure to postsecondary educational opportunities; (b) Community and service learning projects; (c) Peer-centered activities, including peer mentoring and tutoring; (d) Organizational and team work training, including team leadership training; (e) Training in decision-making, including determining priorities; and (f) Citizenship training, including life skills training such as parenting, work behavior training, and budgeting of resources.	

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
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345	<p><i>Received follow-up services</i></p> <p>1 = Yes received 12 months of follow up services</p> <p>2 = No, did not receive 12 months of follow up services</p>					■	■	<p>Follow-up services for youth may include: the leadership development and supportive service activities listed in sections 664.420 and 664.440; regular contact with a youth participant's employer, including assistance in addressing work-related problems that arise; assistance in securing better paying jobs, career development and further education; work-related peer support groups; adult mentoring; and tracking the progress of youth in employment after training. (WIA section 129(c)(2)(I), 20 CFR 664.450(a) 65 FR 49414 August 11, 2000)</p> <p>NOTE: Leave this item blank if the youth has not exited or has exited and is still receiving follow-up services, but has not yet received 12 months of follow-up services.</p> <p>NOTE: If a youth reenrolls in WIA within 12 months of exit, record 1 for 'yes' if follow-up services were provided throughout the period from exit to reenrollment.</p>

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
	<b>SECTION IIIA - PROGRAM OUTCOMES FOR ADULTS (18 and over), DISLOCATED WORKERS AND OLDER YOUTH (19-21)</b>							These outcomes are for all persons receiving adult services (who are individuals 18 and over), dislocated workers and for older youth (19-21 at registration) receiving youth services.
	Outcomes are keyed to the <i>exit quarter</i> (not a reporting item).							Definition: The <b>Exit Quarter</b> is the quarter in which the exit date (Item 303) takes place. This exit date is the last date of WIA funded or partner funded services received (except follow-up services).
601	<i>Employed in quarter after exit quarter</i> 1 = Yes 2 = No 3 = Individual has exited but employment information is not yet available	■	■	■	■		■	<p>The individual should be considered as employed if wage records for the quarter after exit show earnings greater than zero. Wage records will be the primary data source for tracking employment in the quarter after exit.</p> <p>If individuals are not found in the wage records, States may use supplemental data sources.</p> <p>Code 3 may be used if the State has not yet matched with wage records for the appropriate quarter or the 30-day period to collect supplemental data has not expired.</p> <p>See Item 602 for a description of acceptable supplemental data sources.</p> <p>When supplemental sources are used, individuals should be counted as employed if, in the calendar quarter after exit, they did any work at all as paid employees (i.e., received at least some earnings), worked in their own business, profession, or worked on their own farm.</p>

#	Item	Required Items by Group						Definitions	
		Adult		Dislocated Worker		Youth		Questions and Answers	
		C	I T	C	I T	14 - 18	19 - 21		
602	<p><i>Source of supplemental data</i></p> <p>1= Case management, follow-up services, surveys of participants, and/or verification with the employer.</p> <p>2= Record sharing and/or automated record matching with administrative records</p>	■	■	■	■		■	<p>Leave this item blank if wage records were used to report Item 601. While the majority of employment in a State's workforce will be "covered" in the UI wage records, certain types of employers and employees are excluded by Federal standards or are not covered under a State's UI law. "Uncovered" employment typically includes Federal employment, postal service, military, railroad, self employment, some agricultural employment, and employment where earnings are primarily based on commission. States have flexibility in choosing the methods used to obtain information on participants in "uncovered" employment. Examples include:</p> <p>1) Case management, follow-up services, and surveys of participants to determine that the participant are employed; or</p> <p>2) Record sharing and/or automated record matching with other employment and administrative databases to determine employment. These databases include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Office of Personnel Management (Federal Career Service);</li> <li>• United States Postal Service;</li> <li>• Railroad Retirement System;</li> <li>• State Department of Revenue or Tax (State income tax for self-reported occupations);</li> <li>• U.S. Department of Defense; and</li> <li>• Government Employment Records (State government, local government, judicial employment, public school employment, etc.).</li> </ul> <p>Note: Data from these sources that provides information on quarterly earnings should be considered as wage record information, not as supplemental data.</p>	
	<b>Employment Information</b>							<p>The information in Items 603 to 607 should be recorded if the individual is reported as employed in the quarter after exit (Item 601). This information can be based on any job held after exit. It is not necessarily the same job recorded in Item 601.</p> <p>This information can be based on information derived from case management, follow-up services or other sources. It is not necessary to wait until information on Item 601 (employed in quarter after exit) is available before collecting this information.</p>	

#	Item	Required Items by Group						Definitions	
		Adult		Dislocated Worker		Youth		Questions and Answers	
		C	I T	C	I T	14 - 18	19 - 21		
603	Occupational code (if available) 000000000	■	■	■	■		■	The occupational code that best describes the individual's employment. Occupation can be recorded using 6-digit Standard Occupational Classification (SOC) codes, 8 digit O*Net 3.0 codes, 9-digit DOT codes, 5-digit OES codes or 5- or 6-digit O*Net98 codes. The occupation code should be reported if an occupation code was obtained for the job. Note: Occupation codes should be recorded without including hyphens or periods.	
604	Occupational code type 1 = 6 digit SOC code 2 = 8 digit O*Net 3.0 Code 4 = 9-digit DOT code 5 = 5-digit OES code 6 = 5 or 6-digit O*Net98 code	■	■	■	■		■	The type of occupation code used for Item 603. NOTE: The use of SOC or O*NET 3.0 codes is encouraged as the DOT and OES code systems will be phased out.	
605	Entered training-related employment 1 = Yes 2 = No 8 = Training did not impart job-specific skills 9 = Relationship of employment to training cannot be determined		■		■		■	Training-related employment is employment in which the individual uses a substantial portion of the skills taught in the training received by the individual. Leave blank if the individual did not receive training services. Code 8 may be used for training that did not impart job-specific skills, such as job readiness training.	
606	Method used to determine training-related employment 1 = Comparison of the occupation codes between the training activity and the job 2 = Comparison of the industry of employment with the occupation of training using an appropriate crosswalk 3 = Other appropriate method		■		■		■	Training-related employment may be determined by any appropriate method or methods selected by the State, including comparison of the occupation of employment with the occupation of training, comparison of the industry of employment with the occupation of training using valid crosswalks, by a comparison of the job's activities with the skills taught in the training program, or other method. Leave blank if the individual did not receive training services.	
607	Entered non-traditional employment 1 = Yes 2 = No	■	■	■	■		■	Employment in an occupation or field of work for which individuals of the participant's gender comprise less than 25% of the individuals employed in such occupation or field of work (WIA section 101(26)). Nontraditional employment can be based on either local or national data. Appendix D provides national information that, at the State's option, can be used to determine nontraditional employment from the occupation code. <i>Can males enter nontraditional employment?</i> Both males and females can be in nontraditional employment.	

#	Item	Required Items by Group						Definitions
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608	<i>Employed in third quarter after exit quarter</i> 1 = Yes 2 = No 3 = Individual has exited but employment information is not yet available	■	■	■	■		■	<p>Wage records will be the primary data source for tracking employment in the third quarter after exit. If individuals are not found in the wage records, States may use supplemental data sources.</p> <p>Code 3 may be used if the State has not yet matched with wage records for the appropriate quarter or the 30-day period to collect supplemental data has not expired.</p> <p>See Item 602 for a description of acceptable supplemental data sources.</p> <p>When supplemental sources are used, individuals should be counted as employed if, in the third calendar quarter after exit, they did any work at all as paid employees (i.e., received at least some earnings), worked in their own business, profession, or worked on their own farm.</p>
609	<i>Source of supplemental data</i> 1= Case Management, follow-up services, surveys of participants and/or verification with the employer. 2= Record sharing and/or automated record matching with administrative records	■	■	■	■		■	<p>Leave this item blank if wage records were used to report Item 608.</p> <p>See Item 602 for definitions</p>
610	<i>Employed in fifth quarter after exit quarter</i> 1 = Yes 2 = No 3 = Individual has exited but employment information is not yet available	■	■	■	■		■	<p>Wage records will be the primary data source for tracking employment in the fifth quarter after exit. If individuals are not found in the wage records, States may use supplemental data sources.</p> <p>See Item 602 for a description of acceptable supplemental data sources.</p> <p>When supplemental sources are used, individuals should be counted as employed if, in the fifth calendar quarter after exit, they did any work at all as paid employees (i.e., received at least some earnings), worked in their own business, profession, or worked on their own farm.</p>
611	<i>Source of supplemental data</i> 1= Case Management, follow-up services, surveys of participants and/or verification with the employer. 2= Record sharing and/or automated record matching with administrative records	■	■	■	■		■	<p>Leave this item blank if wage records were used to report Item 610.</p> <p>See Item 602 for information regarding the use of supplemental data.</p>

#	Item	Required Items by Group						Definitions	
		Adult		Dislocated Worker		Youth		Questions and Answers	
		C	I T	C	I T	14 - 18	19 - 21		
	<b>Total earnings from wage records for the:</b>							<p>The total earnings in the quarter as determined from wage records. Wage record information can be obtained from the State, other States, other entities maintaining wage record systems, or from Wage Record Interchange System (WRIS). Earnings from all employers of the individual should be summed.</p> <p><i>What if the individual appears in several different wage record systems (e.g., systems in two different States)?</i></p> <p>Earnings from these different sources of wage records should be summed for each quarter.</p> <p>NOTE: The State is required to access these data from its own wage record system; accessing data from other wage record systems is optional, but recommended.</p> <p>NOTE: States should not wait until exit to obtain preprogram data because preprogram earnings data may not be easily available at exit for individuals with long periods of participation. Instead, States should obtain preprogram data as soon after registration as the data become available and reasonably complete.</p>	
612	<i>Third quarter prior to registration</i> 00000.00	■	■	■	■		■	<p>Total earnings in the third quarter before registration for adults, older youth, and dislocated workers without a dislocation date before the registration date. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00. Leave this item blank if it does not apply.</p>	
613	<i>Third quarter prior to dislocation</i> 00000.00			■	■			<p>Earnings in the third quarter before dislocation for dislocated workers. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00. Leave this item blank if it does not apply.</p> <p>Record Item 612 for dislocated workers without a dislocation date before the registration date. Note: Item 612 must also be recorded for dislocated workers served with both dislocated worker and adult funds.</p>	
614	<i>Second quarter prior to registration</i> 00000.00	■	■	■	■		■	<p>Total earnings in the second quarter before registration for adults, older youth, and dislocated workers without a dislocation date before the registration date. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00. Leave this item blank if it does not apply.</p>	

#	Item	Required Items by Group						Definitions	
		Adult		Dislocated Worker		Youth			
		C	I T	C	I T	14 - 18	19 - 21		
								Questions and Answers	
615	Second quarter prior to dislocation 00000.00			■	■			Earnings in the second quarter before dislocation for dislocated workers. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00. Leave this item blank if it does not apply.  Record Item 614 for dislocated workers without a dislocation date before the registration date.  NOTE: Item 614 must also be recorded for dislocated workers served with both dislocated worker and adult funds.	
616	First quarter following the exit quarter 00000.00	■	■	■	■		■	Total earnings from wage records for the quarter. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00.	
617	Second quarter following the exit quarter 00000.00	■	■	■	■		■	Total earnings from wage records for the quarter. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00.	
618	Third quarter following the exit quarter 00000.00	■	■	■	■		■	Total earnings from wage records for the quarter. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00.	
619	Fourth quarter following the exit quarter 00000.00	■	■	■	■		■	Total earnings from wage records for the quarter. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00.	
620	Fifth quarter following the exit quarter 00000.00	■	■	■	■		■	Total earnings from wage records for the quarter. Please enter 99999.99 if data is not yet available for this item. Record 88888.88 if the individual's earnings were over \$99,998.00.	



#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
621	<i>Type of recognized educational/ occupational certificate/credential/ diploma/degree attained</i> 1 = High school Diploma/ Equivalency/GED 2 = AA or AS Diploma/Degree 3 = BA or BS Diploma/Degree 4 = Occupational Skills License 5 = Occupational Skills Certificate or Credential 6 = Other 8 = No credential received, individual received training. 9 = N/A, individual did not receive training	■	■	■	■		■	<p>A credential is defined as any nationally recognized degree or certificate or a State/locally recognized credential. Credentials will include, but are not limited to a high school diploma, GED or other recognized equivalents, postsecondary degrees, recognized skills standards, licensure, apprenticeship or industry recognized certificates. States should include all State Education Agency recognized credentials. In addition, States should work with local Workforce Investment Boards to encourage certificates to recognize successful completion of the training services listed above that are designed to equip individuals to enter or re-enter employment, retain employment, or advance into better employment.</p> <p>Credential must be obtained either during participation or by the end of the third quarter after exit from services (other than follow-up services).</p> <p><i>How should the credential information be obtained?</i></p> <p>States and localities have flexibility in choosing the methods used to collect data on credential. Examples of methods include: 1) case management, follow-up services, and surveys of a participant to determine that the individual received a credential or 2) record sharing and/or automated record matching with administrative/other databases to determine that the participant has received a credential.</p>
622	<i>Other reasons for exit</i> 1 = Institutionalized 2 = Health/medical 3 = Deceased	■	■	■	■	■	■	<p>Institutionalized: The participant is residing in an institution or facility providing 24-hour support such as a prison or hospital and is expected to remain in that institution for at least 90 days.</p> <p>Health/medical: The participant is receiving medical treatment that precludes entry into unsubsidized employment or continued participation in WIA. Does not include temporary conditions expected to last for less than 90 days.</p> <p>Note: States may define and use additional codes for this item.</p>

#	Item	Required Items by Group						Definitions	
		Adult		Dislocated Worker		Youth		Questions and Answers	
		C	I T	C	I T	14 - 18	19 - 21		
623	<i>In postsecondary education or advanced training in quarter after exit</i> 1 = In advanced training 2 = In postsecondary education 3 = Not in further training/education							<p>■ The individual was enrolled in advanced training or post-secondary education in the first quarter after exit including:</p> <p>S Advanced training is an occupational skills employment/training program, not funded under WIA title I, which does not duplicate training received under WIA title I. Training that leads to an academic degree (e.g., AA, AS, BA, BS) should be categorized as post-secondary education and not reported as advanced training. Advanced training may be provided by a One-Stop partner following the exit of the registrant from WIA. Advanced training does not include training funded partially or wholly with WIA funds. An example of advanced training is a community college program that does not lead to an advanced degree.</p> <p>S Post-secondary education is a program at an accredited degree-granting institution that leads to an academic degree (e.g., AA, AS, BA, BS). Do not include programs offered by degree-granting institutions that do not lead to an academic degree as post-secondary education.</p> <p>The following methodologies can be used to determine whether youth are in postsecondary education or advanced training:</p> <p>1) Case management, follow-up services, and surveys of the participant to determine if the youth is in postsecondary education or advanced training; or</p> <p>2) Record sharing agreements and/or automated record matching with administrative/other databases to determine that the participant has been placed in postsecondary education or advanced training. These databases include, but are not limited to:</p> <ul style="list-style-type: none"> <li>- State Board Governing Community Colleges;</li> <li>- State Board Governing Universities;</li> <li>- State Education Associations;</li> <li>- Integrated Postsecondary Education Reporting Unit;</li> <li>- Higher Education Planning Unit; and</li> <li>- Training Institutions/Providers.</li> </ul> <p>Most States will likely utilize case management, follow-up services, and surveys of participants. Some States already have record sharing and/or automated matching systems in place that they will be able to use to track outcomes.</p>	

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		
		C	I T	C	I T	14 - 18	19 - 21	Questions and Answers
624	<i>In postsecondary education or advanced training in the third quarter after exit.</i> 1 = In advanced training 2 = In postsecondary education 3 = Did not enter further training							<div>■</div> <p>The individual was enrolled in advanced training or post-secondary education in the third quarter after exit including:</p> <div>S</div> <p>Advanced training is an occupational skills employment/training program, not funded under WIA title I, which does not duplicate training received under WIA title I. Training that leads to an academic degree (e.g., AA, AS, BA, BS) should be categorized as post-secondary education and not reported as advanced training. Advanced training may be provided by a One-Stop partner following the exit of the registrant from WIA. Advanced training does not include training funded partially or wholly with WIA funds. An example of advanced training is a community college program that does not lead to an advanced degree.</p> <div>S</div> <p>Post-secondary education is a program at an accredited degree-granting institution that leads to an academic degree (e.g., AA, AS, BA, BS). Do not include programs offered by degree-granting institutions that do not lead to an academic degree as post-secondary education.</p> <p>See Item 623 for acceptable data sources.</p>
	SECTION III B - OUTCOMES FOR YOUNGER YOUTH (Aged 14-18 at registration)							
	Skill Attainment							<p>One goal minimum per year is required for all in-school youth and any appropriately assessed out-of-school youth who need to attain basic skills, work readiness skills, or occupational skills. A maximum of three goals per year may be set for purposes of the youth skill attainment measure. Goals should be set at the point of assessment. Additional goals may be set after assessment when called for by the youth's service strategy or when initial goals are attained - unless the three goal maximum for the year would be exceeded. See Appendix E regarding youth skill attainment goals. Also see Training and Employment Guidance Lettter 7-99.</p>
625	<i>Goal #1 type</i> 1 = Basic Skills 2 = Occupational Skills 3 = Work Readiness Skills							<div>■</div> <p>Setting one basic skills goal is required if the youth is basic literacy skills deficient.</p>
626	<i>Date goal #1 was set</i> YYYYMMDD							<div>■</div> <p>The date goal was set is the date a goal was identified for the youth, except that the date of the first goal set must be recorded as the registration date.</p>

#	Item	Required Items by Group						Definitions	
		Adult		Dislocated Worker		Youth		Questions and Answers	
		C	I T	C	I T	14 - 18	19 - 21		
627	<i>Attainment of goal #1</i> 1 = Attained 2 = Set, but not attained 3 = Set, but attainment pending					■		Goal attained. Attainment of a goal is to be based on individual assessments using widely accepted and recognized measurement/assessment techniques.  Goal set, but not attained. Goals not attained include goals whose anniversary date has passed without attainment of the goal. The anniversary date of a goal is the date one year after the date the goal was set.  Goal set, but attainment pending. Includes goals that have not been attained, but have anniversary dates that have not been reached. This category also includes goals that have been postponed because of gaps in service where the participant was placed in a hold status during which services were not received, but the participant planned to return to the program.	
628	<i>Date attained goal #1</i> YYYYMMDD					■		This date should normally be on or before the one-year anniversary of the date the goal is set. However, it may be later if the participant had a gap in service where he/she was placed in a hold status during which services were not received, but the participant planned to return to the program.	
629	<i>Goal #2 type</i> 1 = Basic Skills 2 = Occupational Skills 3 = Work Readiness Skills					■		See Item 625	
630	<i>Date goal #2 was set</i> YYYYMMDD					■		Leave blank if goal #2 not set. See Item 626 for other definitions.	
631	<i>Attainment of goal #2</i> 1 = Attained 2 = Set, but not attained 3 = Set, but attainment pending					■		Leave blank if goal #2 not set. See Item 627 for other definitions.	
632	<i>Date attained goal #2</i> YYYYMMDD					■		Leave blank if goal #2 not set. See Item 628 for other definitions.	

#	Item	Required Items by Group						Definitions	
		Adult		Dislocated Worker		Youth		Questions and Answers	
		C	I T	C	I T	14 - 18	19 - 21		
633	<i>Goal #3 type</i> 1 = Basic Skills 2 = Occupational Skills 3 = Work Readiness Skills					■		Leave blank if goal #3 not set. See Item 625 for other definitions.	
634	<i>Date goal #3 was set</i> YYYYMMDD					■		Leave blank if goal #3 not set. See Item 626 for other definitions.	
635	<i>Attainment of goal #3</i> 1 = Attained 2 = Set, but not attained 3 = Set, but attainment pending					■		Leave blank if goal #3 not set. See Item 627 for other definitions.	
636	<i>Date attained goal #3</i> YYYYMMDD					■		Leave blank if goal #3 not set. See Item 628 for other definitions.	
637 to 672	<i>Information on additional youth goals</i>					■		Space will be provided in the record layout so that information on additional goals can be reported as needed to fully reflect goals set and attained by each youth. All goals set in the program year and the preceding program year should be reported. States may report all goals set during the youth's period of participation.	
673	<i>Attained Secondary School Diploma</i> 1 = Attained a secondary school (high school) diploma 2 = Attained a GED or high school equivalency diploma 3 = Attending secondary school at exit 4 = Did not attain diploma or equivalent					■		1. The youth attained a secondary (high school) diploma recognized by the State during enrollment or by the end of the first quarter after exit. Also include successful completion of an Individual Education Program (IEP) for youth with disabilities. 2. The youth attained a GED or high school equivalency diploma recognized by the State during enrollment by the end of the first quarter after exit. 3. The youth exited WIA services but was still attending secondary school at exit.	
674	<i>Date of high school diploma or GED attainment</i> YYYYMMDD					■		The date of attainment should be the date on the diploma or equivalency certificate, if available. Otherwise, the date may be estimated.	

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
675	<p><i>Youth placement information</i></p> <p>1 = Entered postsecondary education  2 = Entered advanced training  3 = Entered military service  4 = Entered a qualified apprenticeship  5 = Entered unsubsidized employment  6 = Did not enter 1-5 above</p>					■		<p>Record which of the following activities the youth entered within 1 quarter of exit. Entry into these activities may be determined through information obtained from the participant during case management and follow-up services, administrative records (including wage records, where appropriate), surveys of participants, and other similar methods. If the youth qualifies for several of these placement outcomes, record the primary outcome. For example, if the youth enters full time postsecondary education and has a part time job, record 1. Postsecondary education and advanced training are defined in Item 623.</p> <p>1 Should be recorded only if the youth started to attend classes.  2 Should be recorded only if the youth started to attend classes.  3 Should be recorded only if the youth entered military service (i.e., reported for active duty).  4 Should be recorded only if the individual entered a qualified apprenticeship program, i.e., a program approved and recorded by the ETA/Bureau of Apprenticeship and Training or by a recognized State Apprenticeship Agency. Approval is by certified registration or other appropriate written credential.  5 Should be recorded only if the youth entered full- or part-time unsubsidized employment.</p> <p>Unsubsidized employment is any employment, including self-employment, not financed by either funds provided under the Act or by direct wage subsidies provided by any type of public funds. See Item 601 for the definition of employment.</p> <p>Also include entry into the Peace Corps, VISTA and other National Service programs funded by the Federal Corporation for National and Community Service under the National and Community Service Trust Act of 1993 (Examples are activities in the AmeriCorps and the National Civilian Community Corps programs). Do not include entry into the Armed Forces or entry into a qualified apprenticeship program.</p>

#	Item	Required Items by Group						Definitions
		Adult		Dislocated Worker		Youth		Questions and Answers
		C	I T	C	I T	14 - 18	19 - 21	
676	<p><i>Youth retention information (For all youth except those still attending secondary school at exit). Was the youth active in the third quarter following the exit quarter in any of the following activities:</i></p> <p>1= In postsecondary education  2= In advanced training  3= In military service  4= In a qualified apprenticeship  5= In unsubsidized employment  6= Was not in 1-5 above</p>					■		<p>Record the primary activity that the youth was in at any time during the third quarter after exit.</p> <p>See Item 623 for definitions and acceptable data sources for codes 1 (postsecondary education) and 2 (advanced training).</p> <p>See Items 601 and 602 for definitions and acceptable data sources for codes 3 (employment) and 5 (military service).</p> <p>For code 4, a qualified apprenticeship program is a program approved and recorded by the ETA/Bureau of Apprenticeship and Training or by a recognized State Apprenticeship Agency. Approval is by certified registration or other appropriate written credential. To determine whether a youth has been placed in a qualified apprenticeship, the following methods can be used:  1) Case management, follow-up services, and surveys of the participant; or  2) Record sharing agreements and/or automated record matching with the U.S. Department of Labor, Bureau of Apprenticeship and Training database to determine that the participant has been placed in a qualified apprenticeship.</p> <p>Most States will likely utilize case management, follow-up services, and surveys of participants. Some States already have record sharing and/or automated matching systems in place that they will be able to use to track outcomes.</p>

## Appendix A (For The WIA Standardized Record Data (WIASRD))

### General Instructions

#### Due Date

For each program year beginning with Program Year 2000, final data must be submitted by December 1. These final data should correspond to the data used for the annual report.

Program Year Ending Dates	Final Record Due Dates
June 30, 2001	December 1, 2001
June 30, 2002	December 1, 2002
June 30, 2003	December 1, 2003
June 30, 2004	December 1, 2004

These records must be complete and accurate.

#### Universe

Records (or a sample of records) should be submitted for:

- S All adults and dislocated workers who received core services (other than self-service or informational), intensive services or training services and have exited from WIA.
- S Records for adults and dislocated workers must be submitted annually beginning with the exit year and ending with the year when the information in Section IIIA (Program Outcomes for Adults, Dislocated Workers and Older Youth) is complete. Normally the last item to become available will be Item 620 (Total earnings from wage records in the fifth quarter following the exit quarter.) This information will typically become available in the eighth quarter after exit. Thus, an individual's data will be reported for the exit year and for two post-exit years.
- S All youth who received youth activities and have exited from WIA. Once a youth record is submitted, updated records must be provided in each subsequent year until all relevant outcome information is complete.
- S Records for youth under age 19 at registration must be submitted annually beginning with the exit year and ending with the year when the information in both Item 345 (received follow-up services) and Section IIIB (Outcomes for youth 14-18) is complete. Normally the last information to become available will be Item 676, which relates to outcomes in the third quarter after exit. This information should normally be available to be included in the record for the sixth quarter after exit. Thus, data for an individual youth aged 14 to 18 at registration will be submitted for the exit year and for two post-exit years.



- S Records for youth age 19 or over at registration must be submitted annually beginning with the exit year and ending with the year when the information in WIASRD Section IIIA (Program Outcomes for Adults, Dislocated Workers and Older Youth) is complete. Normally, the last item to become available will be Item 620 (Total earnings from wage records in the fifth quarter following the exit quarter.) This information will typically become available in the eighth quarter after exit. Thus, an older youth's data will be submitted for the exit year and for two post-exit years.

Included in the universe are all of the above individuals served with local funds and all individuals served with National Emergency Grants. Records are also included in the universe when a State uses 15% funds for activities that involve the enrollment of individuals eligible for title I-B services, (i.e., adult, dislocated workers, or youth activities), at the State or local level. If the statewide activities are not supporting services for eligible adults, dislocated workers or youth, records should **not** be submitted. Examples of such exceptions include activities where:

- S The State is conducting a Statewide activity that does not involve direct services (e.g., research or evaluation),
- S The activity is structured to provide services that are highly specialized, such as in a pilot or demonstration activity for which the State establishes separate, or its own specific goals not typically addressed in the adult, dislocated worker or youth activities, (e.g., the activities support incumbent worker training authorized under WIA section 134(a)(3)(A)(iv)(I), or a project for chemically dependent TANF recipients).

Note that if an individual is served jointly by multiple WIA title I-B funding sources/programs (e.g., youth and adult funds), **only one record should be submitted**. However, all sections relevant to each funding source/program must be completed. If the individual is served independently by multiple funding sources or local areas, separate records may be submitted.

Each annual record is to provide cumulative information on the registrant's characteristics, services, and outcomes. Thus, services information should include all services received by the participant during participation. Outcome information should be included in the record when it becomes available and continue to be transmitted in subsequent years. Information can, however, be updated or corrected in subsequent years. Self-reported information is acceptable for reporting purposes.

## Sampling Guidelines

States may send DOL samples of records instead of all records. Samples must adhere to the following guidelines:

- The universe (or sampling frame) from which the samples are to be drawn consists of all exiters in the last three complete program years. Submissions should not include individuals who terminated from JTPA. Thus, for most States, the submission due December 1, 2001 will include only PY 2000 exiters. For early implementation States, it will include only PY 2000 and PY 1999 exiters.
- Samples are to be selected randomly using generally accepted statistical sampling methods.
- The minimum sampling rate is the *larger* of:
  - 33%.

- The rate needed to achieve a sample of 2,500 in the funding stream (adult, dislocated worker, youth) with the *smallest* number of exiters during the program year. This sampling rate equals 2,500 divided by the number of exiters from that funding stream during the program year.
- The same sampling rate must be used to select the entire sample for each program year (i.e., the sampling rate must be applied to all funding streams).
- If any funding stream has fewer than 2,500 exiters in a program year, sampling is not allowed.
- A different sampling rate may be used for each program year included in the sample. However, States having the option of applying the largest of the minimum sampling rates calculated for the three program years in the submission to all three program years.
- The samples for each of the two earliest program years in a submission may be either a new sample selected for the submission or the same sample selected for the submission made the previous year.

NOTE: Although States may submit samples of records, the data items included in the record must be collected and maintained for all individuals.

For many States, the effort involved in programming the selection of the sample will outweigh the benefits of sampling. Therefore, States are encouraged to consider whether they will achieve a net benefit from sampling before deciding to sample. States are not required to sample and may decide to routinely submit all records to DOL.

### Worksheet for Determining Minimum Sampling Rates

The following worksheet may be used to determine the required sampling rate for each program year included in the submission:

	A Number of Exiters During Program Year	B Smallest Value in Column A	C 2,500 divided by Column B	D Minimum Sampling Rate (Largest Value in Column C)
Overall minimum			33%	
Adults				
Dislocated Workers				
Youth				

A sample of a completed worksheet follows for a State with 8,000 adult exiters, 7,000 dislocated worker exiters, 4000 older youth exiters and 5,000 younger youth exiters in a program year.

	A Number of Exiters During Program Year	B Smallest Value in Column A	C 2,500 divided by Column B	D Minimum Sampling Rate (Largest Value in Column C)
Overall minimum			33%	63%
Adults	8,000	4,000	63%	
Dislocated Workers	7,000			
Youth	4,000			

For this State and program year, the funding stream with the fewest number of exiters is youth, with 4,000 exiters. Thus, 4000 is entered in Column B. The value entered in Column C is 2,500 divided by 4,000, which is 63%. Because this value is greater than 33%, the minimum sampling rate is 63% for all funding streams. This value of 63% is entered in Column D.

#### **Relationship between Annual Report and Individual Records**

Please note that data provided on the individual WIA Standardized Records will not be used for purposes of performance incentives and sanctions, which will be based on aggregate data submitted by States in the Annual Report. However, we do expect the information received on the annual report to be consistent with and based on the individual record submission.

#### **Data Items and Definitions**

The data items in this system and their associated definitions are designed to provide uniform information about program registration, activities and their outcomes. Although efforts have been made to make definitions consistent with those used for other purposes (e.g., other program partners), they do not in any way, reduce the Governor's authority to establish certain definitions that affect program eligibility.

Beginning on the effective date of this reporting system, Items 102 through 110 and Item 301 are to be collected and retained for all adult and dislocated worker registrants receiving services beyond informational/self-services and all youth applicants (eligible and ineligible) under the WIA title I program. This requirement is in accordance with 29 CFR Part 37, "Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998." Section 37.37(b)(1) of title 20 CFR mandates that: "Each recipient must collect such data and maintain such records, in accordance with procedures described by the Director [Director of Civil Rights], as the Director finds necessary to determine whether the recipient has complied or is complying with the nondiscrimination and equal opportunity provisions of WIA or this part. The system and format in which the records and data are kept must be designed to allow the governor and CRC [Civil Rights Center, Department of Labor] to conduct statistical or other quantifiable data analyses to verify the recipient's compliance with section 188 of WIA and this part." Section 37.37(b)(2) of title 20 CFR provides that: "Such records must include, but are not limited to, records on applicants, registrants, eligible applicants/registrants, participants, terminees, employees, and applicants for employment. Each recipient must record the race/ethnicity, sex, age, and where known, disability status, of every applicant, registrant, eligible applicant/registrant, participant, terminnee [exiter], applicant for employment and employee." Finally, section 37.37(d) of title 20 CFR states that: "Where

designation of individuals by race or ethnicity is required, the guidelines of the Office of Management and Budget must be used.”

Data recorded on socioeconomic characteristics of registrants (Data Items 101 to 118, 123 and 124) must be based on information collected and/or confirmed at time of registration unless otherwise indicated.

As shown in the data definitions, the required data items depend on the funding source (adult, dislocated worker, youth), on a youths’ age at registration, and on the services received by adults and dislocated workers. Required items are marked with a ■ in the relevant column: adults receiving core services (other than informational or self-service) only, adults receiving intensive or training services, dislocated workers receiving core services (other than informational or self-service) only, dislocated workers receiving intensive or training services, youth age 14 to 18 at registration, and youth age 19 to 21 at registration.

All items are optional for adults and dislocated workers receiving only core services that are classified by the State, within federal guidelines, as informational or self-service. No records are to be submitted for these individuals.

Adult items should be recorded for individuals (18 and over) served by adult program funds. Dislocated worker items should be recorded for individuals served by dislocated worker funds. Youth items should be recorded for individuals served by youth program funds. If a person is served by multiple programs, record all relevant items.

When individuals are served with statewide funds the items to be reported should be based on the characteristics of the individual and the services provided. For individuals aged under 19 at registration, items required for younger youth should be reported. For individuals aged 19 to 21 at registration who receive youth services, the items required for older youth should be reported. For individuals who are dislocated workers, the dislocated worker items are to be reported. For all other individuals age 18 or older at registration who receive adult services, the items required for adults are to be reported.

## Appendix B (For The Standardized Record Data (WIASRD))

### Campaign or Expedition Veteran

Please specify either campaign veteran or Vietnam-era Veteran for veterans of the US armed forces participating in the wars, campaigns or expeditions listed on this chart during the time frames noted below:

<p><b>Armed Forces Expeditionary Medal (AFEM)</b></p> <p>Berlin - Aug. 14, 1961 to Jun. 1, 1963          Bosnia (Operations Joint Endeavor, Joint Guard, and Joint Forge) - Nov. 20, 1995 to Dec. 20, 1996; Dec. 20, 1996 to present; June 21, 1998 to present          Cambodia - Mar. 29, 1973 to Aug. 15, 1973          Cambodia Evacuation - Apr. 11 - 13, 1975          Congo - Jul. 14, 1960 to Sept. 1, 1962 &amp; Nov. 23 - 27, 1964          Cuba - Oct. 24, 1962 to Jun. 1, 1963          Dominican Republic - Apr. 28, 1965 to Sept. 21, 1966          El Salvador - Jan. 1, 1981 to Feb. 1, 1992          Grenada - Oct. 23, 1983 to Nov. 21, 1983          Haiti - Sept. 16, 1994 to Mar. 31, 1995          Iraq - Jan. 1, 1997 to present          Korea - Oct. 1, 1966 to Jun. 30, 1974          Laos - Apr. 19, 1961 to Oct. 7, 1962          Lebanon - Jul. 1, 1958 to Nov. 1, 1958 and Jun. 1, 1983 - Dec. 1, 1987          Mayaguez Operation - May 15, 1975          Operations in the Libyan Area - Apr. 12 - 17, 1986          Panama - Dec. 20, 1989 to Jan. 31, 1990          Persian Gulf Operation - Jul. 24, 1987 to Aug. 1, 1990          Persian Gulf Operation - Dec. 1, 1995 to present          Persian Gulf Operation - Dec. 1, 1995 to Feb. 1, 1997          Persian Gulf Operation - Nov. 11, 1998 to Dec. 22, 1998          Persian Gulf Operation - Dec. 16, 1998 to Dec. 22, 1998          Persian Gulf Intercept Operation - Dec. 1, 1995 to present          Quemoy and Matsu Islands - Aug. 23, 1958 to Jun. 1, 1963          Somalia - Dec. 5, 1992 to Mar. 31, 1995          Taiwan Straits - Aug. 23, 1958 to Jan. 1, 1959          Thailand - May 16, 1962 to Aug. 10, 1962          Vietnam Evacuation (Operation Frequent Wind) - Apr. 29, 1975 to Apr. 30, 1975          Vietnam (including Thailand) - Jul. 1, 1958 to Jul. 3, 1965</p>	<p><b>Navy Expeditionary Medals &amp; Marine Corps Medals</b></p> <p>Cuba - Jan. 3, 1961 to Oct. 23, 1962          Indian Ocean/Iran - Nov. 21, 1979, to Oct. 20, 1981          Iranian/Yemen/Indian Ocean - Dec. 8, 1978 to Jun. 6, 1979          Lebanon - Aug. 20, 1982 to May 31, 1983          Liberia - Aug. 5, 1990 to Feb. 21, 1991          Libyan Area - Jan. 20, 1986 to Jun. 27, 1986          Panama - Apr. 1, 1980 to Dec. 19, 1986 and Feb. 1, 1990 to Jun. 13, 1990          Persian Gulf - Feb. 1, 1987 to Jul. 23, 1987          Rwanda - Apr. 7 - 18, 1994          Thailand - May 16 - Aug. 10, 1962</p> <p><b>Other Campaign &amp; Service Medals</b></p> <p>Army Occupation of Austria - May 9, 1945 to Jul. 27, 1955          Army Occupation of Berlin - May 9, 1945 to Oct. 2, 1990          Army Occupation of Germany (exclusive of Berlin) - May 9, 1945 to May 5, 1955          Army Occupation of Japan - Sept. 3, 1945 to Apr. 27, 1952          Chinese Service Medal (Extended) - Sept. 2, 1945 to Apr. 1, 1957          Korean Service - Jun. 27, 1950 to Jul. 27, 1954          Navy Occupation of Austria - May 8, 1945 to Oct. 25, 1955          Navy Occupation of Trieste - May 8, 1945 to Oct. 25, 1954          Southwest Asia Service Medal (SWASM) (Operations Desert Shield and Desert Storm) - Aug. 2, 1990 to Nov. 30, 1995          Units of the Sixth Fleet (Navy) - May 9, 1945 to Oct. 25, 1955          Vietnam Service Medal (VSM) - Jul. 4, 1965 to Mar. 28, 1973</p>
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This document was prepared 11/27/00. For the most current information, please check the OPM web site at <http://www.opm.gov/veterans/html/vgmedal2.htm>.

## **Appendix C (For The Standardized Record Data (WIASRD))**

### **Reporting Services**

All WIA title I funded services should be reported except for self-service and informational activities, which are those core services that are made available and accessible to the general public, that are designed to inform and educate individuals about the labor market and their employment strengths, weaknesses, and the range of services appropriate to their situation, and that do not require significant staff involvement with the individual in terms of resources or time. (Individuals receiving only these services need not be registered.)

To encourage integration of services and recognize shared contributions toward outcomes, we will use the following strategy for tracking and reporting across WIA title I funded (WIA-funded programs) and other workforce investment partners. Once an individual has registered for WIA-funded services, programs can claim credit for outcomes on core measures attained by participants who receive non-WIA funded services (such as those offered by One-Stop and school-to-work partner programs). Some methods for tracking participants across programs include: specifying the non-WIA funded services in the individuals' service plans, coordinating services across WIA and non- WIA funded services, and providing follow-up services to individuals.

Thus, the WIASRD is designed to allow States and local areas to track and report on services that WIA title I-B participants receive from partner programs. While tracking and reporting those services is optional, it can be advantageous because partner services that are tracked and reported can be counted just like WIA services when determining the exit date. Thus, tracking and reporting partner services can help avoid 'soft' exits under WIA. For example, an individual might be registered into WIA and receive some services and go on to receive adult literacy services from WIA title II. If WIA title II services are not tracked, the exit date occurs when WIA title I-B services are finished. If WIA title II services are tracked and reported, then (1) the individual is defined as an exiter from WIA title I-B if there are neither WIA title I-B nor title II services for 90 days and (2) the exit date is the last date on which either WIA title I-B services or WIA title II services were received.

Some questions and answers regarding this optional tracking of partner services include:

#### *What partner services may be tracked and reported?*

Report only those programs that fund activities coordinated with the individual's WIA title I-B activities, possibly through a formal coenrollment, by inclusion in the individual's WIA service plan or through follow-up services. Do not report partner services that the individual obtains on his/her own or that are not coordinated with the individual's WIA title I-B activities.

#### *Can all partner services be used to extend the exit date?*

The only partner services that can extend the exit date are those services that would extend the exit date if they were funded by WIA title I-B. These include services that would qualify under WIA as core services (other than informational or self-service), intensive services, training services, or youth activities (except for follow-up services). They also include similar employment and training activities, such as Adult Literacy Training. They do not include services that provide income support (e.g., Food Stamps, TANF grants, Unemployment Compensation).

*May an individual be exited when WIA title I-B services are over, but partner services continue?*

Receipt of partner services called for in the WIA service plan can extend the exit date, which triggers measurement of outcomes. However, the person should exit from WIA when the services in the WIA service plan are finished, even if other partner services continue. Thus, a 'hard' exit may be recorded whenever the service plan is finished.

### **Core, Intensive and Training Services for Adults and Dislocated Workers**

Individuals who receive only self-service and informational activities are not to be included in the individual record submission. Self-service and informational activities are those core services that are made available and accessible to the general public, that are designed to inform and educate individuals about the labor market and their employment strengths, weaknesses, and the range of services appropriate to their situation, and that do not require significant staff involvement with the individual in terms of resources or time.

Core services which should be included for reporting purposes (and for which individuals must be registered) include:

- Staff assisted job search and placement assistance, including career counseling;
- Follow-up services, including counseling regarding the workplace;
- Staff assisted job referrals (such as testing and background checks);
- Staff assisted job development (working with employer and jobseeker); and
- Staff assisted workshops and job clubs.

Intensive services (WIA section 134(d)(3)(C), 20 CFR 663.200, 65 FR 49404, August 11, 2000) may include:

- Comprehensive and specialized assessments of skill levels and service needs including:
  - diagnostic testing and use of other assessment tools; and
  - in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals;
- Development of an individual employment plan, to identify the employment goals, appropriate achievement objectives, and appropriate combination of services for the participant to achieve the employment goals;
- Group counseling;
- Individual counseling and career planning;
- Case management for participants seeking training services;
- Short-term prevocational services, including development of learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct, to prepare individuals for unsubsidized employment or training;
- Out-of-area job search assistance;
- Relocation assistance;
- Internships; and
- Work experience.

Please note: The Final Rule at 20 CFR 663.200, 65 FR 49404, August 11, 2000 provides that intensive services beyond those listed in the Act may also be provided.

Training services (WIA section 134(d)(4)(D) include:

- Occupational skills training
- On-the-job training
- Workplace training and cooperative education programs
- Private sector training programs
- Skill upgrading and retraining
- Entrepreneurial training
- Job readiness training
- Adult education and literacy training activities in combination with other training (except customized training)
- Customized training

This list is not all-inclusive and additional training services may be provided (20CFR 663, 65 FR 49404 August 11, 2000).



**Appendix D (For The Standardized Record Data (WIASRD))**  
**Information that May Be Used for Determining Non-Traditional Employment**

Nontraditional Occupations for Women and Men

Standard Occupational Classification		Nontraditional for:	
Code	Occupation Title	Women	Men
<b>11-0000</b>	<b>Management Occupations</b>		
11-9110	Medical and Health Services Managers		✓
<b>13-0000</b>	<b>Business and Financial Operations Occupations</b>		
<b>15-0000</b>	<b>Computer and Mathematical Occupations</b>		
<b>17-0000</b>	<b>Architecture and Engineering Occupations</b>	✓	
<b>19-0000</b>	<b>Life, Physical, and Social Science Occupations</b>		
19-2042	Geoscientists, Except Hydrologists, and Geographers	✓	
<b>21-0000</b>	<b>Community and Social Services Occupations</b>		
21-2010	Clergy	✓	
<b>23-0000</b>	<b>Legal Occupations</b>		
23-2000	Legal Support Workers		✓
<b>25-0000</b>	<b>Education, Training, and Library Occupations</b>		
25-2010	Primary and Kindergarten Teachers		✓
25-2020	Elementary and Middle School Teachers		✓
25-2040	Special Education Teachers		✓
25-4000	Librarians, Curators, and Archivists		✓
25-9040	Teacher Assistants		✓

Standard Occupational Classification		Nontraditional for:	
Code	Occupation Title	Women	Men
<b>27-0000</b>	<b>Arts, Design, Entertainment, Sports, and Media Occupations</b>		
27-3010	Announcers	✓	
<b>29-0000</b>	<b>Healthcare Practitioners and Technical Occupations</b>		
29-1010	Chiropractors	✓	
29-1020	Dentists	✓	
29-1030	Dieticians and Nutritionists		✓
29-1040	Optometrists	✓	
29-1060	Physicians and Surgeons	✓	
29-1080	Podiatrists	✓	
29-1110	Registered Nurses		✓
29-1120	Therapists (except 29-1123 Physical Therapists, 29-1126 Respiratory Therapists)		✓
29-2000	Health Technologists and Technicians		✓
<b>31-0000</b>	<b>Healthcare Support Occupations</b>		✓
<b>33-0000</b>	<b>Protective Service Occupations</b>	✓	
<b>35-0000</b>	<b>Food Preparation and Serving Related Occupations</b>		
25-3030	Waiters and Waitresses		✓

Standard Occupational Classification		Nontraditional for:	
Code	Occupation Title	Women	Men
<b>37-0000</b>	<b>Building and Grounds Cleaning and Maintenance Occupations</b>		
37-2012	Maids and Housekeeping Cleaners		✓
37-2020	Pest Control Workers	✓	
37-3000	Grounds Maintenance Workers	✓	
<b>39-0000</b>	<b>Personal Care and Service Occupations</b>		
39-2000	Animal Care and Service Workers		✓
39-5011	Barbers	✓	
39-5012	Hairdressers, Hairstylists, and Cosmetologists		✓
39-6011	Baggage Porters and Bellhops	✓	
39-6030	Transportation Attendants		✓
39-9000	Other Personal Care and Service Workers (except 39-9030 Recreation and Fitness Workers)		✓
<b>41-0000</b>	<b>Sales and Related Occupations</b>		
41-2010	Cashiers		✓
41-2022	Parts Salespersons	✓	
<b>43-0000</b>	<b>Office and Administrative Support Occupations</b>		
43-2000	Communications Equipment Operators		✓
43-3000	Financial Clerks		✓
43-4000	Information and Record Clerks		✓
43-5020	Couriers and Messengers	✓	
43-6000	Secretaries and Administrative Assistants		✓

Standard Occupational Classification		Nontraditional for:	
Code	Occupation Title	Women	Men
43-9000	Other Office and Administrative Support Workers (except 43-9010 Computer Operators)		✓
<b>45-0000</b>	<b>Farming, Fishing, and Forestry Occupations</b> (except 45-2040 Graders and Sorters, Agricultural Products)	✓	
<b>47-0000</b>	<b>Construction and Extraction Occupations</b>	✓	
<b>49-0000</b>	<b>Installation, Maintenance, and Repair Occupations</b>	✓	
<b>51-0000</b>	<b>Production Occupations</b>		
51-1000	Supervisors, Production Workers	✓	
51-3020	Butchers and Other Meat, Poultry, and Fish Processing Workers	✓	
51-3090	Miscellaneous Food Processing Workers		✓
51-4000	Metal Workers and Plastic Workers	✓	
51-5000	Printing Workers	✓	
51-6020	Pressers, Textile, Garment and Related Materials		✓
51-6030	Sewing Machine Operators		✓
51-6050	Tailors, Dressmakers, and Sewers		✓
51-6093	Upholsterers	✓	
51-7000	Woodworkers	✓	
51-8000	Plant and System Operators	✓	
51-9010	Chemical Equipment Operators and Tenders	✓	
51-9020	Crushing, Grinding, Polishing, Mixing, Blending Workers	✓	
51-9040	Extruding, Forming, Pressing, and Compacting Machine Setters, Operators, and Tenders	✓	
51-9050	Furnace, Kiln, Oven, Drier, and Kettle Operators and Tenders	✓	

Standard Occupational Classification		Nontraditional for:	
Code	Occupation Title	Women	Men
51-9120	Painting Workers	✓	
51-9190	Miscellaneous Production Workers	✓	
<b>53-0000</b>	<b>Transportation and Material Moving Occupations</b> (except 53-2020 Bus Drivers)	✓	

NOTE: This table indicates which occupations can be treated as nontraditional employment for purposes of WIA reporting. The table is organized according to the Standard Occupational Classification (1998 version). All major groups (with codes ending with '0000') are shown, regardless of whether or not they contain nontraditional occupations. Nontraditional occupations are those occupations in which persons of a given gender hold less than 25% of employment. Classification of occupations as nontraditional is based on 1999 national data contained in the Bureau of Labor Statistics publication, *Employment and Earnings*, January 2000, Table 11. Employed persons by detailed occupation, sex, race, and Hispanic origin.

Nontraditional employment for women is denoted by a ✓ in the column titled 'Women'; these are occupations in which over 75% of the jobs are held by men. Nontraditional employment for men is denoted by a ✓ in the column titled 'Men'. The chart lists the broadest occupation groupings that can be considered nontraditional. Occupations with codes ending with '0000', '000', '00', or '0' are usually groups of more detailed codes. When such occupation groups are identified as nontraditional, all occupations within the group can be considered as nontraditional. These included occupations have the same beginning digits as the group, but other digits replace the trailing zeros. For example, 47-0000 Construction and Extraction Occupations is identified as nontraditional for women. Thus, all occupation codes beginning with 47- may be considered as nontraditional for women.

This table is intended to be used as a general guide for determining nontraditional employment. However, because of limitations in the underlying data, this table should not be considered definitive. First, the data were not sufficiently detailed to identify traditional and nontraditional occupations at the most detailed levels of occupational coding. Thus, some detailed occupations within groupings not shown as nontraditional may in fact be nontraditional. Alternatively, within groupings shown as nontraditional some detailed occupations might not in fact qualify as nontraditional. Second, the source data were based on a different occupational classification (the Census recode of the 1980 SOC). As a result, some uncertainty was introduced in the conversion between the occupational classifications. Finally, WIA provides the flexibility to determine nontraditional employment using either national or local data. Thus, local areas may also identify different occupations as nontraditional based on employment data from their state or local labor market.

## **Appendix E (For The Standardized Record Data (WIASRD))**

### **Types of Youth Skill Goals**

#### **Basic skills goals**

Basic education skills include reading comprehension, math computation, writing, speaking, listening, problem solving, reasoning, and the capacity to use these skills.

#### **Occupational skills goals**

Primary occupational skills encompass the proficiency to perform actual tasks and technical functions required by certain occupational fields at entry, intermediate or advanced levels. Secondary occupational skills entail familiarity with and use of set-up procedures, safety measures, work-related terminology, record keeping and paperwork formats, tools, equipment and materials, and breakdown and clean-up routines.

#### **Work readiness skills goals**

Work readiness skills include world of work awareness, labor market knowledge, occupational information, values clarification and personal understanding, career planning and decision making, and job search techniques (resumes, interviews, applications, and follow-up letters). They also encompass survival/daily living skills such as using the phone, telling time, shopping, renting an apartment, opening a bank account, and using public transportation. They also include positive work habits, attitudes, and behavior such as punctuality, regular attendance, presenting a neat appearance, getting along and working well with others, exhibiting good conduct, following instructions and completing tasks, accepting constructive criticism from supervisors and co-workers, showing initiative and reliability, and assuming the responsibilities involved in maintaining a job. This category also entails developing motivation and adaptability, obtaining effective coping and problem-solving skills, and acquiring an improved self image.

## Attachment F (ETA 9090)

### Instructions and Form for Submission of the WIA Quarterly Summary Report

#### General Instructions

Each State must submit a Quarterly Summary Report to provide DOL with the most recent performance information. This report must be submitted according to the following guidelines:

- **Due date.** The report is due 45 days after the end of the report quarter. The first report will be the report for the 2<sup>nd</sup> quarter of Program Year (PY) 2000 (for the quarter ended December 31). Due dates for PY 2000 are:

- Second Quarter (quarter ended 12/31/2000)	March 16, 2001
- Third Quarter (quarter ended 3/31/2001)	May 15, 2001
- Fourth Quarter (quarter ended 6/30/2001)	August 14, 2001

The first quarter report for PY 2001 will be due November 14, 2001.

- **Scope.** The report will contain State aggregate data for individuals served by WIA title I-B, including individuals served by both statewide and local funds. Individuals served with statewide funds should only be included in the quarterly report when they count towards the performance outcomes. (Please note, the Federal Register Notice of April 3, 2000 indicated that National Emergency Grants should be included in the quarterly report. Since this is not correct and is not in accordance with Training and Employment Guidance Letter (TEGL) 7-99 (available on-line at [www.usworkforce.org/resources/accountability.htm](http://www.usworkforce.org/resources/accountability.htm)), please do not include National Emergency Grants in the quarterly report.)

If the activities funded with State 15% reserve funds involve the enrollment of individuals eligible for WIA title I-B services, (i.e., adult, dislocated workers, or youth activities), at the State or local level, the outcomes are included in the performance measurements and must be included in the quarterly report. If the activities are not supporting services for eligible adults, dislocated workers or youth, the outcomes are not included in the report. Examples of such exceptions include activities where:

- S the State is conducting a statewide activity that does not involve direct services (e.g., research or evaluation); or
- S the activity is structured to provide services that are highly specialized, such as in a pilot or demonstration activity for which

the State establishes separate, or its own specific, goals not typically addressed in the adult, dislocated worker or youth activities (e.g., the activities support incumbent worker training authorized under Section 134(a)(3)(A)(iv)(I), or activities for chemically dependent TANF recipients).

- **Time period.** To allow for the data collection delay inherent in the WIA performance indicators, the Quarterly Summary Report collects cumulative information for each performance indicator for the most recent periods for which the indicator is available.

For each performance indicator, the State reports the actual cumulative performance (both numerator and denominator) for the most recent data available. Performance indicators are cumulated over two different time periods:

1. Performance indicators that do not use wage records are cumulated over a Program Year (July 1 to June 30). Measures which are not employment-based and not tied to wage records include the younger youth skill attainment rate and diploma or equivalent rate and the two customer satisfaction measures.
2. Performance indicators that use wage records are cumulated during the first quarter of a program year and the last three quarters of the previous program year. Measures that relate to employment as the primary outcome or as a partial outcome and that require the use of the UI wage records as a data source include the adult, dislocated worker and older youth entered employment, retention, earnings, and credential measures and the younger youth retention rate.

Because of the variable lags in the availability of performance information, different performance measures will be cumulated for different numbers of quarters. Table A shows for each report item, the period over which it is to be cumulated and the number of quarters expected to be available for each report (by report quarter).

Because some states may be able to report more quarters than shown in the table, the report form contains a column in which the number of quarters reported is to be indicated.

- **Submission.** States must submit the report in an electronic format. We will provide specific instructions for the submission at a later date.
- **Data collection format.** In addition to the value of each performance indicator, the State must report both the numerator and denominator for each performance



indicator. This detail is needed so that the information can be aggregated over States to provide national estimates. States will also report the number of quarters included in the cumulative value reported for each indicator.

**Table A**  
**Number of Quarters Included in the Cumulative Values in Quarterly Report**  
**By Outcome and Report Quarter**

Reporting Items	Period Over Which to Cumulate	Report Quarter (Due Date)			
		July-Sep. (11/14)	Oct.-Dec. (2/14)	Jan-Mar. (5/15)	Apr.-Jun. (8/14)
<b>Total New Registrants</b>	Program Year (Jul. - Jun.)	1	2	3	4
<b>Total Exiters</b>	Program Year (Jul. - Jun.)	4	1	2	3
<b>Employer Customer Satisfaction</b>	Program Year (Jul. - Jun.)	4	1	2	3
<b>Participant Customer Satisfaction</b>	Program Year (Jul. - Jun.)	4	1	2	3
<b>Youth Diploma or Equivalent Rate</b>	Program Year (Jul. - Jun.)	4	1	2	3
<b>Skill Attainment Rate</b>	Program Year (Jul. - Jun.)	1	2	3	4
<b>Entered Employment Rate</b>	Oct.-Sep.	1	2	3	4
<b>Credential and Employment (Adults/Dislocated Workers) or Credential Rates (Older Youth)</b>	Oct.-Sep.	1	2	3	4
<b>Six Months - Retention Rate</b>	Oct.-Sep.	3	4	1	2
<b>Six Months -Earnings Change or Earnings Replacement</b>	Oct.-Sep.	3	4	1	2

Note: Some state may be able to access complete wage records more quickly than assumed in this table. These states should report as many quarters as are available for the measures to be cumulated over the October 1 to September 30 period.

## Reporting of Performance Indicators

Summary definitions of the core performance indicators for youth, adults and dislocated workers and the customer satisfaction indicators are presented in TEGL 7-99 Attachment A. General definitions are presented in Attachment B of the same TEGL. Detailed calculation instructions are presented in Attachment C of TEGL 7-99. Additional information on the customer satisfaction indicators is presented in TEGL 6-00.

## **Updates**

There is no need to update a quarterly report after its submission. Because cumulative data are being reported, updates will automatically be included in the next quarterly report. Final performance data for each program year should be included in the annual report.

## **DETAILED DEFINITIONS AND INSTRUCTIONS**

**Adults.** Individuals age 18 and over who received services (other than self-service and informational activities) funded with adult program funds.

**Dislocated Workers.** Individuals who meet the WIA definition of dislocated worker and who received services (other than self-service and informational activities) funded with dislocated worker program funds.

**Younger Youth (14-18).** Individuals under age 19 at registration who received youth activities funded by youth program funds.

**Older Youth (19-21).** Individuals age 19 to 21 at registration who received youth activities funded by youth program funds.

## **Report Identifying Information**

**Quarter/PY.** Indicate the number of the quarter (1, 2, 3 or 4) and the program year for which the report is being submitted.

**State.** Indicate the name of the State or jurisdiction.

## **Items to Be Cumulated Over a Program Year**

The first program year to be reported on the quarterly report will be PY 2000 (July 1, 2000 to June 30, 2001).

**Total New Registrants.** The total number of new WIA registrants who received WIA-funded services in the program year. For adults and dislocated workers, individuals

who receive core services (other than informational and self-service activities), intensive services or training services must be registered. All youth who receive youth activities must be registered.

For PY 2000 only, instead of new registrants, the sum of new registrants and carry-in from JTPA should be reported. This sum equals total participants. States that implemented WIA, fully or partially, before July 1, 2000 should report total participants in the PY 2000 reports.

**Total Exiters.** The total number of WIA registrants who exited WIA during a program year. Note that information on all exiters in a quarter is not available until 90 days after the end of the quarter because some exiters may not be identified for up to 90 days after the exit date.) Thus, total exiters for the four quarters of PY 2000 will be reported in the 1<sup>st</sup> quarter PY 2001 report.

**Exiters.** Each individual becomes part of an exit cohort, a group who are determined to be “exiters” within a particular quarter and are looked at together for measurement purposes. There are two ways to determine exit:

1. a registrant who has a date of case closure, completion or known exit from WIA-funded or non-WIA funded partner service within the quarter (hard exit); or
2. a registrant who does not receive any WIA-funded or non-WIA funded partner service for 90 days and is not scheduled for future services except follow-up services (soft exit).

Registrants who have a planned gap in service of greater than 90 days should not be considered as exited if the gap in service is due to a delay before the beginning of training or a health/medical condition that prevents an individual from participating in services. Service providers should document any gap in service that occurs and provide reason for such a gap in service. Registrants who exit from services because they are incarcerated, deceased or have a health/medical condition that prevents the individual from participating in services, should be excluded from the measures. Once a registrant has not received any WIA-funded or partner services, except follow-up services, for 90 days, and there is no planned gap in service, then that participant has exited WIA for the purposes of measurement in 15 of the 17 core measures (the younger youth skill attainment rate and employer customer satisfaction measures are not based on exit).

The exit date will be the last date of WIA-funded or partner-funded service received (except follow-up services). For a soft exit, the date of exit cannot be determined until 90 days have elapsed from the last date of service. At that

point, the exit date recorded is the last date of service. The exit quarter (referred to throughout the definitions of the measures) is the quarter in which the last date of service (except follow-up services) takes place. If a registrant exits WIA and receives future WIA services after exiting, that registrant is treated as a new registrant for purposes of the core measures and will be included in the appropriate measures.

**Customer Satisfaction.** Customer satisfaction must be reported for a program year. The following items are to be reported, separately for employers and participants:

**Number of Completed Surveys.** The number of surveys with answers to each of the three required questions.

**Number Eligible for the Customer Satisfaction Survey.** The number of participants/employers in the group (sample frame) from which the customer sample was drawn. For participants, this is the number of exiters. For employers, it is the number of employers whose service ended. This information is needed to aggregate customer satisfaction over States.

#### **Customer Satisfaction Index.**

For **participant customer satisfaction**, the index is reported for individuals who exited in a program year.

For **employer customer satisfaction**, the index is reported for employers whose service ended in a program year.

**Younger Youth Skill Attainment Rate.** Reported for youth goals that were attained during a program year and youth goals that were not attained and had one-year anniversary dates in the program year.

**Younger Youth Diploma or Equivalent Attainment Rate.** Reported for youth who exited in a program year.

#### **Items to Be Cumulated Over the First Quarter of a Program Year and the Last Three Quarters of the Previous Program Year.**

The following items are to be measured for individuals who exited during the first quarter of a program year and the last three quarters of the previous program year. The first exit group to be reported will be individuals who exited WIA or terminated from

JTPA from October 1, 1999 to September 30, 2000. This period will be used for PY 2000 WIA performance calculations even though it contains up to three JTPA quarters.

**Entered Employment Rate.** Reported for adults, dislocated workers and older youth who exited in the first quarter of a program year and the last three quarters of the previous program year.

**Employment And Credential Rate (Adults/Dislocated Workers), Credential Rate (Older Youth).** Reported for individuals who exited in the first quarter of a program year and the last three quarters of the previous program year.

**Six Months Employment Retention Rate/Younger Youth Retention Rate (postsecondary education/advanced training, or placement and retention in military service, employment or qualified apprenticeships).** Reported for adults, dislocated workers, older youth and younger youth who exited in the first quarter of a program year and the last three quarters of the previous program year. This information should not be included in the report for the 2<sup>nd</sup> quarter of PY 2000 if information is not available for individuals who exited between October 1, 1999 and September 30, 2000.

**Six Months - Earnings Change (Adults/Older Youth), Earnings Replacement (Dislocated Workers).** Reported for adults, dislocated workers, and older youth who exited in the first quarter of a program year and the last three quarters of the previous program year. This information should not be included in the report for the 2<sup>nd</sup> quarter of PY 2000 if information is not available for individuals who exited between October 1, 1999 and September 30, 2000.

Quarterly Report Form (ETA 9090)

Time Period to Cumulate	Performance Items (Cell content format)	Program Group	Number of Quarters Reported	Value	
Program Year (July 1 to June 30)	Total New Registrants (xxxxx)	Adults			
		Dislocated Workers			
		Younger Youth (14-18)			
		Older Youth (19-21)			
	Total Exiters (xxxxx)	Adults			
		Dislocated Workers			
		Younger Youth (14-18)			
		Older Youth (19-21)			
	# of Completed Surveys for Customer Satisfaction (xxxxx)	Employers			
		Participants			
	# of Employers/Exiters Eligible for the Customer Satisfaction Survey (xxxxx)	Employers			
		Participants			
	Customer Satisfaction (xx.x) §136(d)(1)	For Employers			
		For Participants			
	Youth Diploma or Equivalent Rate (xx.x%) §136(d)(1)	Younger Youth (14-18)			
	Skill Attainment Rate (xxx.x) §136(d)(1)	Younger Youth (14-18)			

<i>Time Period to Cumulate</i>	<i>Performance Items (Cell content format)</i>	<i>Program Group</i>	<i>Number of Quarters Reported</i>	<i>Value</i>	<i>Numerator</i>
					<i>Denominator</i>
<i>October 1 to September 30</i>	Entered Employment Rate (xx.x%) §136(d)(1)	Adults			
		Dislocated Workers			
		Older Youth (19-21)			
	Credential and Employment (Adults/Dislocated Workers) or Credential Rates (Older Youth) (xx.x%) §136(d)(1)	Adults			
		Dislocated Workers			
		Older Youth (19-21)			
	Six Months - Retention Rate (xx.x%) §136(d)(1)	Adults			
		Dislocated Workers			
		Older Youth (19-21)			
		Younger Youth (14-18)			
	Six Months -Earnings Change or Earnings Replacement (\$xxxxx) §136(d)(1)	Adults			
		Dislocated Workers			
		Older Youth (19-21)			

## Attachment G

### Workforce Investment Act Title I-B Annual Report (ETA 9091)

#### GENERAL INSTRUCTIONS

Each State that receives an allotment under WIA section 127 (youth activities) or section 132 (adult and dislocated worker activities) of the Workforce Investment Act of 1998 must prepare and submit an Annual Report to the Secretary in accordance with WIA sections 136(d)(1) and 185(d).

The Department of Labor, in consultation with States and other partners, has developed a strategy for the Annual Report that is designed to meet these requirements but that also provides States the flexibility to “showcase” their unique programs, strategies and accomplishments. The Annual Report will emulate the Private Sector’s “Report to Stockholders.” Just as a Report to Stockholders presents a company portrait painted in a particular style of the corporate culture, States are encouraged to design their Annual Reports to stakeholders in a manner that makes extensive use of graphics and other communication devices so that the report represents their qualities in the most advantageous manner to all stakeholders, including Congress, Governors, State legislators, workforce investment boards and the public. For example, States may want to include “success stories” that focus attention on successful programming for participants, employers and communities. Messages from the Governor, or information about State Workforce Investment Board members, market analysis, strategies for improvement, effects on major industries may also be included. While this portion of the Annual Report is optional, DOL is optimistic that States new to this type of publication will soon discover the benefits that States now creating these kinds of documents have come to appreciate.

Additionally, as a Report to Stockholders contains information mandated by the Securities and Exchange Commission, the WIA Annual Report will have some required information that will appear in the format prescribed in attachment V. This will satisfy WIA section 185(c)(2) which requires the Secretary to facilitate this uniform reporting, and will allow the Secretary to disseminate a State-by-State comparison of the information as required in WIA section 136(d)(3)(B). Another reason that this essential information is displayed in a clear and unambiguous way, is that the core and customer satisfaction indicators will be used when determining incentive grants under WIA section 503 and sanctions under WIA section 136(g). States may place these tables anywhere in their publication, but they must be confined to one section of the report rather than scattered throughout the report.

**Due Date.** The report is due December 1 following each program year. For example, the report for Program Year (PY) 2000 will be due December 1, 2001. States will probably want to begin planning their Annual Reports, writing “Success Stories,”



contracting for publication, etc., before outcome data becomes available in order to meet the deadline for submission. 20 CFR 667.300(e)(1) of the WIA Final Rule (65 FR 49429, August 11, 2000) states that: "A State failing to submit any of these annual performance progress reports within 45 days of the due date may have its grant (for that program or all title I, subpart B programs) for the succeeding year reduced by as much as five percent, as provided by WIA section 136(g)(1)(B)."

**Scope.** The report will cover services provided under Title I-B of WIA using local funds and statewide funds. Details about services provided using National Emergency Grant funds should not be included since this information will be included in other report(s). States may also include information about partner programs and how WIA and partner programs are collaborating to provide workforce development services. Statewide activities to be included in the Annual Report are those statewide activities that are included in the performance measures.

- Statewide activities: If the activities funded with State 15% reserve funds involve the enrollment of individuals eligible for Title I-B services, (e.g., adult, dislocated workers, or youth activities), at the State or local level, the outcomes are included in the performance measurements. If the activities are not supporting services for eligible adults, dislocated workers or youth, the outcomes are not included in the negotiated performance measures. Examples of such exceptions include activities where:
  - the State is conducting a Statewide activity that does not involve direct services (e.g., research or evaluation),
  - the activity is structured to provide services that are highly specialized, such as a pilot or demonstration activity for which the State establishes separate, or its own specific, goals not typically addressed in the adult, dislocated worker or youth activities (e.g., the activities support incumbent worker training authorized under section 134(a)(3)(A)(iv)(I), or activities for chemically dependent TANF recipients).

**Time Period.** The Annual Report reflects performance outcome information that becomes available by the time the Annual Report for the program year is due. The introduction to each table explains the applicable time periods. States may include information on performance indicators from previous years to show trends over time as this information becomes available.

**Annual Report Tied to Individual Records.** The performance information provided in the Annual Report is based on the data from the individual records provided to the Secretary.

**Submission.** The Department of Labor's Employment and Training Administration (ETA) will provide Congress with a copy of the Annual Report submitted by each State

and publish each State's report on an Internet web site. States must provide ETA with:

- One original and two copies of the report, one to forward to Congress and one each for ETA's national and regional office; and
- A computerized copy of the report in a format usable for inclusion on ETA's web site. Acceptable formats include WordPerfect, Microsoft Word, Acrobat, and other commonly used formats.
- The electronic format of this report may have a slightly different appearance than the attached report form. We will provide specific instructions for the electronic submission of the report at a later date.

## **SPECIFIC INSTRUCTIONS**

**Optional Portion.** Since States are not required to include any information other than that in the attached format, we are not issuing any formal guidance on the optional portion of the report. However, we anticipate providing some examples of "best practices" and working with our State Partners to develop technical assistance for those who want it.

**Required Portion.** The required portion of the Annual Report must be submitted according to the following guidelines:

Indicate your State's name and the date the report was submitted electronically to the Department of Labor or its designated contractor.

On the electronic version of the report, include the name and title of the authorized official of the governor responsible for certifying that the data submitted is complete and accurate.

### **I. Narrative Section.**

A. A discussion of the cost of workforce investment activities relative to the effect of the activities on the performance of the participants as required in WIA section 136(d)(2)(C).

In addressing this item, States may want to include information from their strategic plans about the mix of services (activities) selected and the outcomes expected from these activities and then discuss the actual outcomes for their major customer segments. States may indicate actual federal outlays for selected activities, if the information is available.

States must explain how the allocation of resources for adults, dislocated workers, and youth activities affected the outcomes. For adults and dislocated

workers the activities that States may wish to address are core, intensive and training services. For youth, States should include information about front-end costs (e.g., intake, assessment and case management) and aggregated direct service costs for the ten youth program elements described in WIA section 129(c)(2).

B. A description of State evaluations of workforce investment activities (if any) is required by WIA section 136(d)(1), including:

- The questions the evaluation will/did address;
- A description of the evaluation's methodology; and
- Information about the timing of feedback and deliverables.

The required State evaluations of workforce investment activities are described in WIA section 136(e) and include evaluation studies of workforce investment activities conducted under WIA title I-B to establish, implement and use methods for continuous improvement in the efficiency and effectiveness of the statewide workforce investment system in improving employability for job seekers and competitiveness for employers.

## **II. Table Section Instructions.**

**Table A - Workforce Investment Act Customer Satisfaction Results.** Enter the following information separately for program participants and employers. Additional information about Customer Satisfaction Indicators is available in TEGL 6-00. This information is based on exiters from the program year:

**Negotiated Performance Level.** The level of performance negotiated between the State and DOL.

**Actual Performance Level.** The actual performance levels on the American Customer Satisfaction Index.

**Number of Customers Surveyed.** The number of surveys with answers to each of the three required questions. (The number of surveys to be administered is addressed in TEGL 7-99.)

**Number Eligible for the Customer Satisfaction Survey.** The number of participants/employers in the group (sample frame) from which the customer sample was drawn. This information is needed to aggregate customer satisfaction across all States.

**Aggregating Local Board ACSI Results to Obtain Statewide Results.** States using the ACSI methodology to measure Local Board performance are not

required to conduct separate customer satisfaction surveys to obtain State level results. In situations where a single sampling rate is used throughout the State, the Local Board ACSI results on a customer satisfaction measure may simply be aggregated to obtain State level results.

In situations where different sampling rates exist for the Local Boards in a State, each Local Board's ACSI score will need to be weighted before aggregating the outcomes to obtain results that are representative of the State overall. The information needed to compute these weighted scores are the sample frames for each Local Board in the State and each Local Board's ACSI score.

To illustrate how these weights are derived, consider the following example:

Name	Participant Sampling Frame	ACSI	Employer Sampling Frame	ACSI
Local Board 1	1,824	67.2	597	65.2
Local Board 2	1,025	78.1	533	80.0
Local Board 3	1,151	68.6	487	67.0
State A	4,000	////	1,617	////

The weighted score would be calculated for each Local Board by multiplying the ACSI score by the number in the Local Board sample frame. These weighted Local Board scores would then be totaled and divided by the sum of the sampling frame sizes for all Local Boards in the State to obtain a State ACSI score.

Using the figures provided in the above example, the ACSI scores for the State are calculated in the following manner:

	Participant	Employer
Local Board 1	$(67.2 \times 1,824) = 122,572.8$	$(65.2 \times 597) = 38,924.4$
Local Board 2	$(78.1 \times 1,025) = 80,052.5$	$(80.0 \times 533) = 42,640.0$
Local Board 3	$(68.6 \times 1,151) = 78,958.6$	$(67.0 \times 487) = 32,629.0$
Total	$= 281,583.9$	$= 114,193.4$

State A ACSI score for participants:  $(281,583.9 / 4,000) = 70.4$

State A ACSI score for employers:  $(114,193.4 / 1,617) = 70.6$

**Tables B through K.** Use the following definitions to complete Tables B through K. Information for the special population tables is in accordance with the requirements of WIA section 136(d)(2)(F). The comparison of individuals who received Training Services and Individuals who received only core and intensive services is required by section 136(d)(2)(E) of the Act.

**Negotiated Performance Level.** The level of performance negotiated between the State and DOL.

**Actual Performance Level.** The actual performance levels on the core indicators of performance for the groups of individuals specified on the table. Include the numerator and denominator for the actual performance levels achieved in the space indicated.

Summary definitions of the four core performance indicators for youth, adults and dislocated workers, entered employment, credential and/or credential and employment, six months retention and six months earning change or earning replacement as well as the youth skill attainment indicator are presented in TEGL 7-99 Attachment A. General definitions are presented in Attachment B of the same TEGL. Detailed calculation instructions are presented in Attachment C of TEGL 7-99.

Information about the Entered Employment Rate, the Employment Retention Rate (six months), the Earnings Change In Six Months (adults), the Earnings Replacement In Six Months (dislocated workers) and the Employment and Credential Rate will be based on exiters from the first quarter of the program year and the last three quarters of the previous program year.

Information about the participant customer satisfaction measure, the Younger Youth Diploma rate and the Youth Skill Attainment Measure will be based on exiters from the program year. The employer customer satisfaction measure is based on employers served during the program year.

**Adults.** Individuals who received services (other than self-service and informational activities) funded with adult program funds.

**Dislocated Workers.** Individuals who meet the definition of a dislocated worker in WIA section 101(9) who received services (other than self-service and informational activities) funded with dislocated worker program funds.

**Displaced Homemaker.** An individual who has been providing unpaid services to family members in the home (WIA section 101(10) and -

- (1) has been dependent on the income of another family member but is no longer supported by that income; and

- (2) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment; or

For the purposes of carrying out innovative Statewide activities noted in WIA section 134, the following individuals may also be counted as displaced homemakers WIA section 134(a)(3)(A)(vi)(I): individuals who are receiving public assistance and are within 2 years of exhausting lifetime eligibility under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.).

**Individuals Who Received Training Services.** Individuals who received services for adults and dislocated workers described in WIA section 134(d)(4)(D).

**Individuals With Disabilities.** Individuals with any disability as defined in section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102).

**Older Individuals.** Individuals aged 55 years or older at the time of registration.

**Older Youth (19-21).** Individuals age 19 to 21 at registration who received youth activities funded by youth program funds.

**Out-of-school Youth.** An eligible youth, at the time of registration, who is a school dropout or who has received a secondary school diploma or its equivalent but is basic skills deficient, unemployed, or underemployed.

**Public Assistance Recipients.** Individuals who receive Federal, State, or local government cash payments for which eligibility is determined by a needs or income test (WIA section 101(37)). The receipt of public assistance status may occur at any time the individual is receiving services including at time of registration or during participation. Receipt of foster child payments should not be counted as public assistance.

In Table C, Public Assistance Recipients are only those individuals who received Intensive or Training Services.

**Veterans.** Individuals who served in the active U.S. military, naval, or air service and who were discharged or released from such service under conditions other than dishonorable.

**Younger Youth (14-18).** Individuals under age 19 at registration who received youth activities funded by youth program funds.

**Table L - Other Reported Information.** The requirements for this table are prescribed in the Workforce Investment Act, including the requirements that States provide the

following information:

- Section 136(d)(2)(B) for wages at entry into employment for participants in workforce investment activities who entered employment, including the rate of wage replacement for such participants who are dislocated workers;
- Section 136(d)(2)(D) for retention and earnings received in employment 12 months after entry into the employment;
- Section 136(d)(2)(E) for individuals who received training services compared with the performance of participants in workforce investment activities who received only services other than training services (excluding participants who received only self-service and informational activities); and
- Section 185(d)(1)(C) for information regarding programs and activities carried out under this title pertaining to placement for participants in nontraditional employment.

Please use the following information to complete Table L:

**Placements of Participants in Nontraditional Employment.** Nontraditional employment is employment in an occupation or field of work for which individuals of the participant's gender comprise less than 25% of the individuals employed in such occupation or field of work (WIA section 101(26)). This determination may be made using either state or national data. Appendix D in the WIASRD provides national information that, at the State's option, can be used to determine nontraditional employment from the occupation code. Both males and females can be in nontraditional employment. This information can be based on any job held after exit and only applies to adults, dislocated workers and older youth who entered employment in the quarter after exit.

**Training-Related Employment.** Training-related employment is employment in which the individual uses a substantial portion of the skills taught in the training received by the individual. This information is about individuals who exited during the first quarter of the program year and the last three quarters of the previous program year. This information can be based on **any** job held after exit and only applies to adults, dislocated workers and older youth who entered employment in the quarter after exit.

**Wages at Entry Into Employment.** This information is reported for individuals who exited in the first quarter of the program year and the last three quarters of the previous program year.

*-Of those adults or older youth who are employed in the first quarter after exit:*  
Total earnings in the first quarter after exit divided by the number of exiters.

*-Of those dislocated workers who are employed in the first quarter after exit:*  
Total earnings in the first quarter after exit divided by the number of exiters.

Operational Parameters:

- To ensure comparability of this measure on a national level, the UI wage records will be the only data source used for this measure. Therefore, individuals whose employment was determined from supplementary sources are excluded from the measure.

- Individuals who are not found to be employed in the first quarter after exit are excluded from this measure.

Adults and older youth who are employed at registration are excluded from this measure.

Older Youth in both employment and post-secondary education or advanced training in the first quarter after exit are included in the denominator. Older Youth who are not employed, but who are in post-secondary education or advanced training in the first quarter after exit are excluded from this measure.

**Twelve Months Employment Retention Rate and Twelve Months Earnings Change (Adults and Older Youth) or Twelve Months Earnings Replacement (Dislocated Workers).** This information is reported for individuals who exited in the first quarter of the previous program year and the last three quarters of the second previous program year. This “look in the rearview mirror” is due to the length in the period of measurement and the availability of the wage record data. **(Special instructions for the Annual Report submitted for PY 2000 only:** Since there will be no information available for the 12 month measures, the measures need not be reported.)

**Adult Employment Retention Rate at Twelve Months**

*Of those who are employed in the first quarter after exit:*

Number of adults who are employed in the fifth quarter after exit divided by the number of adults who exited

Operational Parameters:

- This measure includes only those who are employed in the first quarter following exit (regardless of their employment status at registration).
- Individuals who are not found to be employed in the first quarter after exit are excluded from this measure.



- Employment in the first and fifth quarters following exit does not have to be with the same employer.

### **Adult Average Earnings Change in Twelve Months**

*Of those who are employed in the first quarter after exit:*

Total post-program earnings (earnings in quarter 4 + quarter 5 after exit) minus pre-program earnings (earnings in quarter 2 + quarter 3 prior to registration) divided by the number of adults who exited.

Operational Parameters:

- This measure includes the same population as the adult employment retention measure, those who are employed in the first quarter following exit (regardless of their employment status at registration).
- To ensure comparability of this measure on a national level, UI wage records will be the only data source for this measure. Therefore, individuals whose employment in either the first, third, or fifth quarter after exit was determined from supplementary sources and not from the UI wage records are excluded from the measure.
- Individuals who are not found to be employed in the first quarter after exit are excluded from this measure.
- States should exclude from this measure any individuals whose entry (registration) date is so far back in time that accessing quarters 2 and 3 of pre-registration wage data is unfeasible or unreasonable. However, participants excluded from this measure for this reason should still be included in any other applicable measures. For example, the person should still be counted in the retention measure.
- If supplementary sources are the data source for a participant's employment in the 2<sup>nd</sup> and/or 3<sup>rd</sup> quarter prior to registration, that participant is excluded from this measure.

### **Dislocated Worker Employment Retention Rate at Twelve Months**

*Of those who are employed in the first quarter after exit:*

Number of dislocated workers who are employed in the fifth quarter after exit divided by the number of dislocated workers who exited.

Operational Parameters:

- Employment in the first and fifth quarters following exit does not have to be

with the same employer.

- Individuals who are not found to be employed in the first quarter after exit are excluded from this measure.

### **Dislocated Worker Earnings Replacement Rate in Twelve Months**

*Of those who are employed in the first quarter after exit:*

Total post-program earnings (earnings in quarter 4 + quarter 5 after exit) divided by the pre-dislocation earnings (earnings in quarters 2 + quarter 3 prior to dislocation)

Operational Parameters:

- To ensure comparability of this measure on a national level, the UI wage records will be the only data source for this measure. Individuals whose employment in either the first, third, or fifth quarter after exit was determined from supplementary sources and not from the UI wage records are excluded from the measure.
- This measure includes the same population as the retention measure, those who are employed in the first quarter following exit.
- Individuals who are not found to be employed in the first quarter after exit are excluded from this measure.
- If there is no date of dislocation or if the date of dislocation is after registration, use the 2<sup>nd</sup> and 3<sup>rd</sup> quarters prior to registration. If a State is not systematically collecting the date of dislocation and uses the 2<sup>nd</sup> and 3<sup>rd</sup> quarters prior to the registration date, it should be noted that the registration date may not closely simulate the results from the 2<sup>nd</sup> and 3<sup>rd</sup> quarters prior to the dislocation quarter.
- States should exclude from the earnings replacement calculations any individuals whose entry (registration) date is so far back in time that accessing quarters 2 and 3 pre-dislocation/pre-registration wage data are unfeasible or unreasonable. However, participants excluded from this measure for this reason should still be included in any other applicable measures. For example, these participants should still be counted in the retention measure.
- The calculation for this indicator will be done on an aggregate basis. We will continue to research the feasibility of calculating this measure on an individual basis using wage record data.

### **Older Youth Employment Retention Rate at Twelve Months**

*Of those who are employed in the first quarter after exit and who are not enrolled*

*in post-secondary education or advanced training in the third quarter after exit:*

Number of older youth who are employed in fifth quarter after exit divided by the number of older youth who exited.

Operational Parameters:

- This measure includes all individuals who are employed in the first quarter following exit, except those individuals who are employed in the first quarter and not employed in the third quarter following exit, but are in post-secondary education or advanced training third quarter following exit. These individuals are excluded from this measure.
- Employment in the first and fifth quarters following exit does not have to be with the same employer.

### **Older Youth Average Earnings Change in Twelve Months**

*Of those who are employed in the first quarter after exit and who are not enrolled in post-secondary education or advanced training in the third quarter after exit:*

Total post-program earnings (earnings in quarter 4 + quarter 5 after exit) minus pre-program earnings (earnings in quarter 2 + quarter 3 prior to registration) divided by the number of older youth who exited.

Operational Parameters:

- This measure includes the same population as the older youth employment retention measure (regardless of their employment status at registration).
- To ensure comparability of this measure on a national level, the UI wage records will be the only data source for this measure. Therefore, individuals whose employment in either the first, third, or fifth quarter after exit was determined from supplementary sources and not from UI wage records are excluded from this measure.
- Individuals who are not found to be employed in the first quarter after exit are excluded from this measure.
- States should exclude from this measure any individuals whose entry (registration) date is so far back in time that accessing quarters 2 and 3 of pre-registration wage data is unfeasible or unreasonable. However, participants excluded from this measure for this reason should still be included in any other applicable measures. For example, the person should still be counted in the retention measure.
- If supplementary sources are the data source for a participant's employment in the 2<sup>nd</sup> and/or 3<sup>rd</sup> quarter prior to registration, that participant is excluded from this measure.

**Table M - Participation Levels.** Use the following information to complete Table M:

**Total Participants.** The total number of individuals served by WIA Title I-B funds during the program year. This should include individuals who received services with adult, dislocated worker, youth and 15% funds. This should not include individuals who only participated in National Emergency Grant services or only participated in self-service or informational activities.

**Total Exiters.** The total number of WIA registrants who exited WIA in the program year. (Exiters may not be identified for up to 90 days after the exit date.)

Each individual becomes part of an exit cohort, a group which is determined to be the “exiters” within a particular quarter and are looked at together for measurement purposes. There are two ways to determine exit:

1. a registrant who has a date of case closure, completion or known exit from WIA-funded or non-WIA funded partner service within the quarter (hard exit); or
2. a registrant who does not receive any WIA-funded or non-WIA funded partner service for 90 days and is not scheduled for future services except follow-up services (soft exit).

Registrants who have a planned gap in service of greater than 90 days should not be considered to have exited if the gap in service is due to a delay before the beginning of training or a health/medical condition that prevents an individual from participating in services. Service providers should document any gap in service that occurs and provide a reason for such a gap in service. Registrants who exit from services because they are incarcerated, deceased or have a health/medical condition that prevents the individual from participating in services, should be excluded from the measures. Once a registrant has not received any WIA-funded or partner services, except follow-up services, for 90 days, and there is no planned gap in service, then that participant has exited WIA for the purposes of measurement in 15 of the 17 core measures (the younger youth skill attainment rate and employer customer satisfaction measures are not based on exit).

The exit date will be the last date of WIA-funded or partner service received (except follow-up services). For a soft exit, the date of exit cannot be determined until 90 days have elapsed from the last date of service. At that point, the exit date recorded is the last date of service. The exit quarter (referred to throughout the definitions of the measures) is the quarter in which the last date of service (except follow-up services) takes place. If a registrant exits WIA and receives future WIA services after exiting, that registrant is treated as a new registrant for

purposes of the core measures and will be included in the appropriate measures.

**Table N - Cost of Activities Information.** This data is required cumulatively on an accrual basis by program year.

**Total Federal Spending for Local Adult, Local Dislocated Worker, and Local Youth Funding Stream Activities.** Enter the total accrued expenditures (federal outlays) which are the sum of actual cash disbursements for direct charges for goods and services, plus:

- net increase or decrease in amounts owed by the recipient for goods and other property received; for services performed by employees, contractors, subgrantees, and other payees and other amounts becoming owed for which no current services or performance is required.

These entries should be strictly program costs which are reported on the WIA Financial Status Report (FSR) (ETA 9076 D, E and F) (do not include administrative costs). This data should loosely match the data submitted on the June 30 FSR. Minor variances could occur based on the required due dates of August 15 for WIA FSR data and December 1 for the Annual Report.

**Total Federal Spending for Rapid Response Activities.** Of the up to 25% Dislocated Worker funds that a State may reserve for Statewide Rapid Response activities, enter total accrued expenditures for the program year. The entry should closely match the entry on the June 30 WIA FSR (ETA 9076-B) with variances that may occur due to the difference in report due dates.

**Total Federal Spending for Statewide Required Activities.** In the Federal Spending Column include only the sum of total federal outlays used for statewide required activities (up to 15%). This also includes all federal costs (program and administrative) used for operating the fiscal and management accountability system).

WIA section 134(a)(2)(B) describes the Statewide 15% Required Activities that are included in this item as follows: A State shall use funds reserved as described in sections 128(a) and 133(a)(1) (regardless of whether the funds were allotted to the State under section 127(b)(1) or paragraph (1) or (2) of section 132(b)) to carry out other statewide employment and training activities, which shall include--

- (i) disseminating the State list of eligible provider's training services, including eligible providers of nontraditional training services, information identifying eligible providers of on-the-job training and customized training, and performance information and program cost information, as described in subsections (e) and (h) of section 122;
- (ii) conducting evaluations, under section 136(e), of activities authorized in this section, in coordination with the activities carried out under section

172;

(iii) providing incentive grants to local areas for regional cooperation among local boards (including local boards for a designated region as described in section 116(c)), for local coordination of activities carried out under this Act, and for exemplary performance by local areas on the local performance measures;

(iv) providing technical assistance to local areas that fail to meet local performance measures;

(v) assisting in the establishment and operation of one-stop delivery systems described in subsection (c); and

(vi) operating a fiscal and management accountability information system under section 136(f).

**Statewide Allowable Activities Program Activity Description.** In the Program Activity Description Column, States **may** individually describe the activities for which the State used any of the total federal programmatic outlay for the up to 15% allowable activities (e.g., funds passed through to local programs for use with Summer Employment opportunities). States **must** individually describe all of the activities for which 10 percent or more of these funds were spent. A “miscellaneous” description line must also be included for all activities that States are not required to identify individually (because the outlay for the activity accounted for less than 10 percent of these funds) or chose not to identify individually. Do not include administrative outlays in this response.

Statewide (up to 15%) Allowable Activities (WIA section 134(a)(3)) are described as follows:

(A) In general.--A State may use funds reserved as described in sections 128(a) and 133(a)(1) (regardless of whether the funds were allotted to the State under section 127(b)(1) or paragraph (1) or (2) of section 132(b)) to carry out additional statewide employment and training activities, which may include--

(i) subject to subparagraph (B), administration by the State of the activities authorized under this section;

(ii) provision of capacity building and technical assistance to local areas, one-stop operators, one-stop partners, and eligible providers, including the development and training of staff and the development of exemplary program activities;

(iii) conduct of research and demonstrations;

(iv)(I) implementation of innovative incumbent worker training programs, which may include the establishment and implementation of an employer loan program to assist in skills upgrading; and

(iv)(II) the establishment and implementation of programs targeted to empowerment zones and enterprise communities;

(v) support for the identification of eligible providers of training services as required under section 122;

(vi)(I) implementation of innovative programs for displaced homemakers, which

for purposes of this subclause may include an individual who is receiving public assistance and is within 2 years of exhausting lifetime eligibility under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.); and  
(vi)(II) implementation of programs to increase the number of individuals training for and placed in nontraditional employment; and  
(vii) carrying out other activities authorized in this section that the State determines to be necessary to assist local areas in carrying out activities described in subsection (d) or (e) through the statewide workforce investment system.

**Total Federal Spending by Statewide Activities (15%) Allowable Activities.**

In the Federal Spending Column include the sum of total federal programmatic outlays used for activities. States may report any of these costs and should report costs which equaled 10 percent or greater of the total federal outlay for the up to 15% Statewide or Statewide allowable activities. Miscellaneous outlays must also be included for all activities that States are not required to identify individually (because the outlay for the activity accounted for less than 10 percent of these funds) or chose not to identify individually. Exclude administrative outlays in this response.

**Total of All Federal Spending Listed Above.** Enter the sum of the Total Federal Outlays for Adult, Dislocated Worker, and Youth Funding Stream Activities, Rapid Response Activities, Statewide Required Activities (up to 15%), plus Statewide Allowable Activities included in Table N. (Please note: Since this response is the sum of the amounts listed on each of the lines in the Total Federal Spending column, it should not exceed the sum of the other lines.)

**Table O - Local Performance.** Use the following definitions as well as the definitions contained earlier in the instructions to complete this table for each local area in the State:

**Local Area Name.** List the name of the local area on the blank provided.

**ETA Assigned #.** Insert the five-digit ETA-assigned code for the local workforce investment area.

**Other State Indicators of Performance.** Provide a short description of the indicators of any other state indicators of performance (WIA section 136(d)(1)). Insert N/A if there were not any other state indicators of performance. Insert the negotiated level of performance and the actual performance level achieved on the other State Indicators of Performance.

**Overall Status of Local Performance.** Put an X in the box indicating whether the negotiated performance levels resulted in the local level meeting, exceeding or not meeting the negotiated levels of performance for the Core Indicators of

Performance, the two customer satisfaction measures and other State indicators of performance, if any.



**WIA Title IB  
Annual Report Form (ETA 9091)**

**I. Narrative Section**

- A. A discussion of the cost of workforce investment activities relative to the effect of the activities on the performance of participants.
- B. A description of State evaluations of workforce investment activities, including:
- The questions the evaluation will/did address;
  - A description of the evaluation's methodology; and
  - Information about the timing of feedback and deliverables.

## II. Table Section

**Table A - Workforce Investment Act Customer Satisfaction Results**

<b>Customer Satisfaction</b>	<b>Negotiated Performance Level</b>	<b>Actual Performance Level - American Customer Satisfaction Index</b>	<b>Number of Customers Surveyed</b>	<b>Number of Customers Eligible for The Survey</b>
<b>Program Participants</b>				
<b>Employers</b>				

**Table B - Adult Program Results At-A-Glance**

	Negotiated Performance Level	Actual Performance Level	
Entered Employment Rate			Numerator
			Denominator
Employment Retention Rate			Numerator
			Denominator
Earnings Change in Six Months			Numerator
			Denominator
Employment And Credential Rate			Numerator
			Denominator

**Table C - Outcomes for Adult Special Populations**

Reported Information	Public Assistance Recipients Receiving Intensive or Training Services		Veterans		Individuals With Disabilities		Older Individuals	
Entered Employment Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN
Employment Retention Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN
Earnings Change in Six Months		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN
Employment And Credential Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN

**Table D - Other Outcome Information for the Adult Program**

Reported Information	Individuals Who Received Training Services		Individuals Who Received Only Core and Intensive Services	
Entered Employment Rate		NUM		NUM
		DEN		DEN
Employment Retention Rate		NUM		NUM
		DEN		DEN
Earnings Change in Six Months		NUM		NUM
		DEN		DEN
Employment And Credential Rate		NUM		NUM
		DEN		DEN

**Table E - Dislocated Worker Program Results At-A-Glance**

	Negotiated Performance Level	Actual Performance Level	
Entered Employment Rate			Numerator
			Denominator
Employment Retention Rate			Numerator
			Denominator
Earnings Replacement in Six Months			Numerator
			Denominator
Employment And Credential Rate			Numerator
			Denominator

**Table F - Outcomes for Dislocated Worker Special Populations**

Reported Information	Veterans		Individuals With Disabilities		Older Individuals		Displaced Homemakers	
Entered Employment Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN
Employment Retention Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN
Earnings Replacement Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN
Employment And Credential Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN

**Table G - Other Outcome Information for the Dislocated Worker Program**

Reported Information	Individuals Who Received Training Services		Individuals Who Received Only Core and Intensive Services	
Entered Employment Rate		NUM		NUM
		DEN		DEN
Employment Retention Rate		NUM		NUM
		DEN		DEN
Earnings Replacement Rate		NUM		NUM
		DEN		DEN
Employment And Credential Rate		NUM		NUM
		DEN		DEN

**Table H - Older Youth Results At-A-Glance**

	Negotiated Performance Level	Actual Performance Level	
Entered Employment Rate			Numerator
			Denominator
Employment Retention Rate			Numerator
			Denominator
Earnings Change in Six Months			Numerator
			Denominator
Credential Rate			Numerator
			Denominator

**Table I - Outcomes for Older Youth Special Populations**

Reported Information	Public Assistance Recipients		Veterans		Individuals With Disabilities		Out-of-School Youth	
Entered Employment Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN
Employment Retention Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN
Earnings Change in Six Months		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN
Credential Rate		NUM		NUM		NUM		NUM
		DEN		DEN		DEN		DEN

**Table J - Younger Youth Results At-A-Glance**

	Negotiated Performance Level	Actual Performance Level	
Skill Attainment Rate			Numerator
			Denominator
Diploma or Equivalent Attainment Rate			Numerator
			Denominator
Retention Rate			Numerator
			Denominator

**Table K - Outcomes for Younger Youth Special Populations**

Reported Information	Public Assistance Recipients		Individuals With Disabilities		Out-of-School Youth	
Skill Attainment Rate		NUM		NUM		NUM
		DEN		DEN		DEN
Diploma or Equivalent Attainment Rate		NUM		NUM		NUM
		DEN		DEN		DEN
Retention Rate		NUM		NUM		NUM
		DEN		DEN		DEN

**Table L - Other Reported Information**

	12 Month Employment Retention Rate		12 Mo. Earnings Change (Adults and Older Youth)  or  12 Mo. Earnings Replacement (Dislocated Workers)		Placements for Participants in Nontraditional Employment		Wages At Entry Into Employment For Those Individuals Who Entered Unsubsidized Employment		Entry Into Unsubsidized Employment Related to the Training Received of Those Who Completed Training Services	
<b>Adults</b>		NUM ..... DEN		NUM ..... DEN		NUM ..... DEN		NUM ..... DEN		NUM ..... DEN
<b>Dislocated Workers</b>		NUM ..... DEN		NUM ..... DEN		NUM ..... DEN		NUM ..... DEN		NUM ..... DEN
<b>Older Youth</b>		NUM ..... DEN		NUM ..... DEN		NUM ..... DEN		NUM ..... DEN		

**Table M - Participation Levels**

	Total Participants Served	Total Exiters
<b>Adults</b>		
<b>Dislocated Workers</b>		
<b>Older Youth</b>		
<b>Younger Youth</b>		

**Table N - Cost of Program Activities**

Program Activity			Total Federal Spending
Local Adults			
Local Dislocated Workers			
Local Youth			
Rapid Response (up to 25%) §134 (a) (2) (A)			
Statewide Required Activities (Up to 15%) §134 (a) (2) (B)			
Statewide Allowable Activities §134 (a) (3)	Program Activity Description		
Total of All Federal Spending Listed Above			



**Table O - Local Performance (Include This Chart for Each Local Area In The State)**

Local Area Name  _____	Total Participants Served	Adults		
		Dislocated Workers		
		Older Youth		
		Younger Youth		
ETA Assigned #  _____	Total Exiters	Adults		
		Dislocated Workers		
		Older Youth		
		Younger Youth		
		<b>Negotiated Performance Level</b>	<b>Actual Performance Level</b>	
Customer Satisfaction	Program Participants			
	Employers			
Entered Employment Rate	Adults			
	Dislocated Workers			
	Older Youth			
Retention Rate	Adults			
	Dislocated Workers			
	Older Youth			
	Younger Youth			
Earnings Change/Earnings Replacement in Six Months	Adults			
	Dislocated Workers			
	Older Youth			
Credential/Diploma Rate	Adults			
	Dislocated Workers			
	Older Youth			
	Younger Youth			
Skill Attainment Rate	Younger Youth			
Description of Other State Indicators of Performance (WIA §136 (d)(1) (Insert additional rows if there are more than two "Other State Indicators of Performance"))				
Overall Status of Local Performance		Not Met	Met	Exceeded